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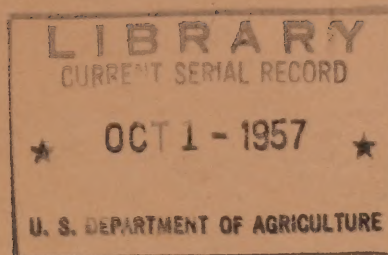




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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION



CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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INTRODUCTION AND GROUND RULES

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WASHINGTON, D. C.  
1957





UNITED STATES DEPARTMENT OF AGRICULTURE  
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AGRICULTURAL MARKETING SERVICE

PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

COURSE CONTENT

First Unit - Introduction and Ground Rules

Section 1 - Administrative and Supervisory Judgment Test "A"

Section 2 - Management Terms - What They Mean

CORRESPONDENCE COURSE

Section 3 - Some Typical Management Practices

IN

Section 4 - Characteristics of the Successful Manager

Section MANAGEMENT PRINCIPLES AND PRACTICES

Section 5 - Basic Requirements in Organizing

Section 7 - Effective Communications

Section 8 - Evaluating Employee Performance

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Section 9 - Training and Developing the Employee

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Section 10 - Developing and Maintaining Coordination

Section 11 - Effective Use of the Subordinate Staff

INTRODUCTION AND GROUND RULES

Section 12 - The Relation of Morale to Management

Section 13 - Standards of Management

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Section 14 - Inspection Is Essential to Sound Management

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Section 15 - Handling \* \* \* \* \*

Section 16 - Test "WASHINGTON, D. C. Acquiring and

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Increasing Managerial Competence

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CORRESPONDENCE COURSE

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Section 16 - Test "B" and Suggestions for Acquiring and

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INTRODUCTION

We probably won't have any difficulty in agreeing that in any co-operative undertaking, such as this one, the people involved in it need to know what it's all about. Everyone with some responsibility, and if he is going to take part in it he will have some responsibility, will do a better job, if he is entirely familiar with the objectives of the operation. And he needs to know too, what will be done to reach those objectives. What he is expected to do to help reach them. The more he knows, that he has a right to know, the better for him and for all others concerned. That's just good sound management. This idea may not be the least bit new to you. Possibly it's just the way you operate all of your official affairs. And possibly it's the way your boss operates. And it may be just the way that all your former bosses operated too. We hope that this is the case. And we imagine that you feel the same way about it.

This course that we are getting started on is a course in management. Among some other things, one of its main purposes is to bring about an exchange of information. Information about the field of management. In our mutual efforts to accomplish this, and to accomplish some other things as well, we need to practice good management. It seems that it would be a pretty sorry state of affairs if we didn't do our best to practice good management while we are engaged in this effort to become



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better managers. We need to keep in mind, not just part of the time but all of the time, that there is no better way to get people to manage efficiently than to demonstrate good management in everything we do.

We are going to do our best to apply this principle right at the very start. And we're going to make a real effort to apply this same principle with relation to every feature of this course.

In the few pages that follow we will try to do a thorough job of furnishing you with the type of information, about this course, that you need. Some of the things mentioned may not be essential, but that's no cause for concern. These additional comments may prove to be a little interesting and may sometime be of some help. Certainly, it would be better for this explanation to be too thorough, rather than too sketchy.

#### WHY THIS COURSE IS OFFERED

It is a pretty well established fact that how well any organization operates depends, very largely, upon how well that organization is managed. It would seem to follow then, that managers play a vital role in the degree of success enjoyed by any undertaking, by any enterprise. It seems to follow, too, that every organization which hopes to succeed, and we rather imagine this applies to most of them, needs to have managers who are fully capable of carrying out their jobs. And that anything that can be done, that needs to be done, to improve the quality of management is just good business. And we need to remember, always, that the job of developing managers is, of itself, one of the important responsibilities of each manager.



better managers. We need to keep in mind, not just part of the time but all of the time, that there is no better way to get people to manage efficiently than to demonstrate good management in everything we do. We are going to do our best to apply this principle throughout the very heart. And we're going to make a real effort to apply this same principle with relation to every feature of this course.

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## THE COURSE

It is a fairly well known fact that the success of any organization depends very largely upon how well that organization is managed. It would seem to follow that, then, that managers have a vital role in the degree of success enjoyed by any undertaking, by any enterprise. It seems (in fact, too, that every organization which desires to succeed and we rather imagine this applies to most of them) to have managers who are fully capable of carrying out their jobs. And yet, anything that can be done, that needs to be done, to improve the quality of management is just good business. And we need to remember, always, that the job of developing managers for the future is of the highest responsibility of each manager.

The acquiring of proficiency as a manager is basically the same as the acquiring of proficiency in any other field, any other science, any other profession. The same general pattern is followed. First, the individual has to acquire certain basic knowledge of the subject. He usually does this by attending institutions of learning. Frequently he spends several years at a college or university and often receives one or more degrees in the fields of study he engages in. Second, after this initial knowledge acquiring phase is over, he starts out to apply this knowledge. Usually, at the start he puts this knowledge into practice under rather close supervision. This is usually referred to as the apprentice or intern period. Even though it doesn't go by one of these names, in many organizations, it is precisely that. As the individual's proficiency increases, as he gains experience on the job, the extent and intensity of the direction he receives progressively lessens. Third, when certain proficiency levels have been reached the individual is given more responsibility and somewhat greater authority. He begins to function with greater independence, much more on his own. In this third phase the higher levels of opportunity for individual achievement are reached in progressive stages. Of course, the heights ultimately attained are influenced by, and are directly dependent upon, a great many factors and influences. Initiative, limitations of opportunity, and individual capacity are just a few of them.

Today, in the field of management, the first of these three phases is, generally, woefully deficient. The basic formal educational backgrounds of the great majority of present and potential managers relate to other specialties, to specialties in fields which are, many times, quite unrelated to the field of management. This situation is unfortunate.







But the individual isn't entitled to all of the blame. He did not realize, and no one ever told him, that the chances are at least ten to one that sooner or latter, and often much sooner, he would be called upon to manage something. And it was not made clear to him either that regardless of how capable he might become in some other specialty, that fact would be of no particular benefit to him when he found himself faced with the job of running something, of managing.

As a consequence of this very general condition the existing situation with respect to the status of the background qualifications of present managers and those who aspire to be managers is pretty obvious. The job of developing the manager to manage has to be done, almost entirely, after he gets on the job. And about the only way to do it is to combine the first and second phases we mentioned earlier. And this means one other very important thing too. It means that the individual has to be vitally interested in developing himself and he has to spend a lot of effort doing it. It means one other important thing. Something that is, certainly, so very obvious. That the quality of the management under which the individual operates will influence, more than anything else, the degree of managerial proficiency he acquires on the job. And that means, of course, that the level of competency he attains is very largely determined by the competency of his boss.

This course is offered in an attempt to partially offset the very apparent deficiencies in the first of the three phases we mentioned. It has the further objective of bringing about some improvement in the other two phases. There is a conventional way for getting this job done. The usual method employed in manager development is to carry on a series of conferences or seminars. This sort of arrangement is possible,

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and so on and so forth, that the individual has at his disposal in the world

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of course, only when the people taking part are located so that they can assemble at fairly regular intervals. This arrangement has some advantages. But it has many disadvantages too. It is quite expensive and if considerable travel is required, it is even more so. And it is often considered necessary to shorten the "program" and deal only in concentrated fashion with the subject matter. Sometimes, as a matter of fact usually, this shortening process produces substantially reduced benefits. The arrangement does, however, have the advantage of providing the opportunity to "talk out" points which are controversial or need clarification. There is greater opportunity, also, for the exchange of individual experiences.

By handling this operation through the medium of correspondence, as we are doing, the same ground can be covered, just about as thoroughly and at greatly reduced costs. Perhaps the greatest advantage of this approach is that the individual in an isolated location may participate in the same manner and to the same degree as the employee who is headquartered in Washington or Chicago or in some other location where employees are concentrated in substantial numbers. Recent experience along this line has conclusively proved that the method is a very effective one. It may offer one advantage which compensates, almost completely, for the several disadvantages. And that is that everything is put down on paper, is recorded, which means that the participant is able to assemble considerable material which he may utilize to great advantage later on.

#### WE NEED TO UNDERSTAND EACH OTHER

We could probably create a good clear understanding on the part of everyone as to what our objectives are and how we plan to work toward them and still not accomplish very much. We need to make certain that





there is an equally clear understanding of what we are talking about. That there exists a common language, that there is virtually no opportunity for misunderstanding on our part about what you say and you should not have to be uncertain about anything we have to say. What we need, then, is what is most frequently referred to as "good communications." It doesn't matter how sound any policy is, how proper any procedure is, or how desirable a prescribed practice is if the individual to whom these things apply does not understand them. To illustrate by extremes, a beautiful picture would have little meaning for those unfortunates who have been deprived of their sight. Or those with no sense of hearing could not appreciate the talents of a great singer. In both instances the basic commodity is present but the opportunity to utilize it is not. These illustrations are extreme but they may serve to illustrate the basic essentiality of effective communications in any cooperative effort.

We need to recognize that the clearing up of the communication question in the field of management is exceedingly important. Is needed very badly. This is true because of the wide variety of views and of opinions that now exist with respect to the general management area as well as the various components of it. As a result of this condition a great deal of confusion exists. And where we have confusion we also have a proportionate degree of inefficiency. Perhaps we can best illustrate by citing some of the conditions which create the circumstance we're talking about.

Let us consider the term management, the field, the science, the art, that we are concerned about. Do you think that the majority of the people in any sizeable group have a reasonably uniform view as to just what management is? It is very doubtful that it would be possible to get reasonably uniform agreement with any group of half a dozen people

there is an actual case understanding of what we are talking about.

That there is a common language is virtually no of it.

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It doesn't matter how sound any theory is, how proper any procedure

or how desirable a proposed project is, if it is not understood by those

to whom it is to be applied, it is of no use. To illustrate the point,

a beautiful picture would be of little use to those who cannot see it.

Many great ideas have been lost because they were not understood.

could not apply them. The talents of a great person are of no use if

basic commodity is present but the opportunity to utilize it is not.

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second, as art, and the third, as a combination of the two.

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selected at random. We will not go into the defining of management at this point. That will come a little later. But some of the practices that have built up over the past decade or more have contributed substantially to this general state of confusion. There is one practice in particular we might mention. It is perhaps appropriate to refer to it as "operation suffix." Recently, it has become an increasingly popular practice to attach the word management to individual, specialized operations. Paper management, equipment management, financial management, property management, and any number of others are examples of what we mean. There is no particular objection to this, or at least there would not be, if the consequences produced were acceptable. But they are not. The people engaged in these specialty operations tend, more and more, to limit the field of management to their particular specialty.

Then too, there is another concept which exerts an equally limiting influence. We refer to the practice of grouping the usual type of staff service functions in the organization and referring to them, collectively, as the management function. Personnel services, fiscal matters, property accountability, procurement, space-handling, and the like are, of course, individual elements in the total management operation. But they are individually and collectively, a very small part of the total. These are just two examples of the basic cause of the problem. Others will be referred to later throughout this course.

Also, we might ask ourselves questions such as these. What do we mean by the term executive? Is an administrator an executive and is an executive an administrator? Where should we draw the line, if at all, between the supervisory group and the administrative group in an organization? Who are the people who make up the management force? Does





the management force include first line supervisors? What do people mean when they talk about "staff" and about "line"? What is the relationship between the line and the staff?

It may not be possible for us to clear up completely some of these questions. But there is one thing we can do and there is urgent need for doing it. That is, the bringing about of a uniform understanding so that each of us will interpret what is said pretty much in the same way.

It might be worthwhile to mention right here, this matter of attitude in an effort such as this one. The attitude toward the idea of trying to make ourselves better managers. In the first place, there always seems to be the tendency, on the part of management, to want to rush through any kind of activity designed to develop managers. Management often expresses the view that it will be done "if there is time." And another thing. How often have you heard the statement that before any effort along this line can be successful management has to be "sold" on the idea? It's not very difficult to recognize just how unjustified such a statement is. One of the prime jobs of management is to manage efficiently, to improve its quality of management if it needs improving. And the way to do this, of course, is to work toward increasing the proficiency of the people who do the job, the managers. As the development of managers is a prime function of management it seems to be mighty inconsistent that management has to be sold on its job. Should it be necessary to sell Ford on Fords, and economists on economics, or an agronomist on agronomy? And just one other thing. For some reason, which defies explanation, the great majority of people are convinced that they are very competent in the job of handling subordinate forces, in the job of administering, of managing. This same majority is pretty

the management of the business is the first and most important thing to do.

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thoroughly convinced too, that, by comparison, the other folks are much less capable in this field. As a result of this viewpoint, it is not the least bit unusual to find that the individual now in a managerial position is firmly convinced that the other outfits, or at least most of them, could use a lot of help, but he doesn't need any. It appears that we must conclude that somebody somewhere is wrong. And maybe one of the first jobs is to find out who it is and try to correct that attitude. As a matter of fact, it is by no means unusual to find that the ones who say they need it the least actually need it the most. And those who freely admit they need assistance, and take advantage of every opportunity they have, are the ones who are getting along pretty well, by comparison, just as they are.

#### WHY IS GOOD MANAGEMENT IMPORTANT?

Just why is it that we need to be concerned that managers be equipped to do the best possible job of managing? The answer seems to be pretty apparent. It's because the success of any organization, of any cooperative undertaking, depends, in the final analysis, upon the quality of its management. No organization is any better or any worse than its management.

Everything else in an organization can be top notch. Its facilities, equipment, quarters, and the like, can be the very best. But even then it will not be truly successful, or fully efficient, unless it is well administered.

But, facilities of the type we just mentioned can be mediocre, or even of substandard quality, and the outfit will be reasonably successful if it is efficiently managed. This is a fact which has been proved over and over again.





There is another reason why we need to be vitally concerned. The troubles an organization experiences, its problems, its difficulties are, almost without exception, caused by one or more management deficiencies. If you care to test this out you might find it interesting to take a few of the things which are causing you the most concern and dig on down to their basic causes. We are not the least bit reluctant to say that in about 90 percent of these cases you will find that the situation developed because of lack of appropriate regard for one or more basic management principles.

Throughout this course we will be talking a great deal about the subordinate employee, as an individual and as a member of a working force. Why will we do this? Because the subordinate members of the manager's staff represent his prime concern. As individuals and collectively, they represent the facility, the resource, by means of which a manager gets his job done. It is the manager's job to get things done through his people. If they do their jobs efficiently then the manager has done his job efficiently. If they perform in a way that is less than acceptable, then the manager who was responsible for their performance has been equally unsuccessful. The subordinate's success is the manager's success. They share and share alike. And the same is equally true when results fall below an acceptable standard.

What do we mean when we refer to the employee? We mean everyone who works for the organization. The boss, the top administrator, the head manager, the heads of branches, divisions, agencies, departments and all of the individuals who work for any one of these people. We need to remember that, always. And let's not fall into the trap of considering administrators and managers and executives to be





different than employees. We often hear the statement "administrators and employees." Would it not be just as logical, or illogical, to refer to Chevrolets and automobiles, or Cocker Spaniels and dogs?

How often too, have you heard this statement, "It may be good for the employee, but it's not good for the organization?" How wrong that viewpoint is and how badly it needs changing. Why? Because the employee is the organization. Take the employee group away and what happens to the organization? It's gone. An organization no longer exists. Then, should we not recognize that what is good for one is good for the other because they are one and the same?

But, to get back to the question of why quality management is so important. Of course, it's not possible to mention all of the reasons right here but perhaps we should consider just one. For example, everyone would agree that we wouldn't give an inexperienced messenger boy the job of running an expensive machine, an electric brain or an atomic reactor. We need a specialist, one who is well qualified, to do that job. The human mechanism, people, are still more complicated. And they are pretty valuable too. And mighty vulnerable. Isn't it just as logical as can be then, to require that the people who run people be fully qualified to do just that? Isn't it most important that we recognize that the job of managing is a science and is, to a degree, an art? That question is one we will get into in a little more detail later on.

We need to remember, all of the time, that the work of any organization is the end product and that the people who make up the organization are the means of producing that end product. As we are interested, and responsible for, the production of an acceptable product then, it behooves us to do a pretty good job of looking after the means to that end. And we

different than employees. We often hear the statement, "Employees are different."

and employees. It might be just as likely, or likelier, to say

in Christendom and Mohammedanism, or Confucius and others.

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should we not recognize that what is good for one is good for the other

because they are one and the same?

The answer to the question is not really a simple one. It is so

important. It is important to men and all of our business right

now. It is important to the future of our country. It is important

to the future of the world. It is important to the future of the human

race. It is important to the future of the universe. It is important

to the future of the whole of existence. It is important to the future of the

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need to utilize those means, and utilize them fully. Who is responsible for doing that? The manager, of course.

To meet this responsibility, to perform his job efficiently, he better be very concerned, first, and always, about his major resource, his people. He shouldn't find this too difficult, especially if he never forgets that he is just like one of them, that he just happens to be where he is instead of where they are. If he does always remember this and proves it by his actions, he will be going a long way toward the doing of an acceptable job of managing.

#### CAPABLE ADMINISTRATORS ARE BADLY NEEDED

The jobs of all administrators of all managers are basically identical. It doesn't matter very much what kind of work the organization is doing or when and where it is done. The manager is always working with the same commodity. People. Naturally, the other things relating to his operation are never exactly the same, but that makes no particular difference. His major facility, taken collectively, is the same.

Of course, we often hear the same old worn out excuse "that may be all right for that outfit, but mine is entirely different." If the author of this statement traded his whole work force for the one in that other outfit would he still say the same thing? He probably would. But he'd be doing a real good job displaying his inconsistency. And he'd be demonstrating too, that he does not clearly understand what his job actually is. He is proving that it is not clear to him that the manager's job is made up of definite functions, all of them involving the utilization of human resource.

We hear the statement, constantly, that able executives are badly needed. Of course that is true and it will always be true. It is perhaps





well that we hear this statement more and more frequently. That fact would seem to indicate that there is increasing recognition of the importance of the administrative function, recognition of just what the operation consists of. Efficient people are needed, as well, in all of the other sciences, professions, and technologies. And that need will always exist. The only difference, with respect to the need for good managers, seems to be that this fact has escaped recognition for a much longer period of time.

There is another statement that I am certain each of us has heard many times. That is, that competent managers are in short supply. Of course this is true. Why shouldn't it be? Most anything, except possibly the air we breathe, will be in short supply in the absence of real effort to acquire it. No requirement, which may be obtained only through the expenditure of effort, is ever met in the absence of positive action. And that is what has been lacking in the discovery, the development, and the utilization of managerial talent.

What happens when other commodities are in short supply? Automobiles, farm equipment, or foods and fibers. The answer is pretty evident. The resources needed are discovered, are located, and integrated activity occurs whereby those resources are converted into the desired end product.

Do we know that potential managers are in short supply? Probably we do not. Are the required raw materials in short supply? Probably not. But before we are able to discover, to recognize, the kind of raw materials needed we must know what kind of an end product we hope to produce. That seems to be the first job which needs doing. After that is done, and that is no small undertaking, we need to locate the necessary

well that we hear this statement more and more frequently. That fact would seem to indicate that there is an increasing recognition of the importance of the functions of the manager, recognition of just what the operation consists of. Efficient people are needed, as well, in all of the other business functions, and technologies. And that need will always exist. The only difference, with respect to the need for good management, is that it has been recognized that it is a need for good management.

There is another statement that I am certain each of us has heard many times. That is, that companies and managers are in short supply. It is true. Why is it so? Most anything we possibly breathe, will be in short supply in the future. It is not to acquire it. No requirement, which may be stated only through the expenditure of effort, is ever met in the absence of positive action. And that is what has been lacking in the discovery, the development, and the utilization of managerial talent. What happens when other resources are in short supply? Automobiles, farm equipment, or foods are short. The answer is pretty evident. The resources needed are discovered, are developed, and are put into the desired end product.

Do we know that potential managers are in short supply? Probably we do not. Are the required raw materials in short supply? Probably not. The answer to the question, "Are there shortages of the materials needed to make the products of the future?" is probably not. The answer to the question, "Are there shortages of the people to make the products of the future?" is probably yes. And that is no small undertaking, we need to



raw materials and then we need to manufacture it, to develop it, so as to produce the final commodity needed.

"Managers, leaders, are born not made!" How often we hear that statement made. But is there any sound basis for it? Are engineers, economists, doctors of medicine, and lawyers born and not made? Of course not. Certainly, there are individual differences in the degree of proficiency attained in each of these specialized areas. But that is always true and while we could always use a few geniuses, including a few in the management field, we don't expect that everyone who specializes will attain that level. And it is perhaps well that they do not for conditions, in general, might prove to be quite chaotic under such a circumstance. These individual differences in proficiency level are as certain as day and night. And there are good reasons why these differences do and always will exist. The influences of temperament, physical makeup, mental capacity, and environment are just a few of the factors that enter into the whole thing. And these influences exert substantial force in every specialized field, including the management field.

The managers needed to meet the demand, or at least to approach it rather closely, can be developed. But there is no short cut to that development. The science of management is as complex as most of the others, and in some instances is even more complex. The others take years of instruction and experience. And so does management. We are going to try to do a part of this job through the administration of this course. From that point on it is up to you. It is primarily your concern. But it is of great concern too, to the administrative officials of the organization in which you work, and it is their responsibility to recognize,

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field.

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it in a certain way. But if we have the ability, we must use it

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going to try to do a part of this and discuss the administration of this

course. From that point on it is up to you. It is primarily your

But it is of great concern too, to the administrative officials in the

organization in which you work, and it is their responsibility to recognize,



accept, and carry out this phase of the management function which is an inherent part of their individual assignments.

### A GOOD JOB OF MANAGING IS A SATISFYING EXPERIENCE

The job of the manager is truly a difficult but interesting one. Just like any other job the more he knows about it the less difficult he finds it to be and the more interesting it becomes. His responsibilities are great. So great that they cannot be compared with those of the other specialists whose primary responsibilities relate to material things or to the lower forms of animal life. The mistakes of these other specialists may be costly but there is a substantial measure of difference in the nature of that costliness. Their mistakes are frequently subject to ready measurement and are often readily remedied at costs measured in material values.

On the other hand, the individual who administers a subordinate force, the manager, is responsible for the well being, yes, to a substantial extent the destinies of the most valuable, and perhaps the most vulnerable of all resources, human beings. His mistakes may not infrequently result in serious damage which is virtually immeasurable and which is frequently irreparable. There is no measuring stick which may be applied, with any degree of accuracy, to mental disturbance and human suffering. The losses in production which inevitably follow are obvious. But the extent to which such losses are clearly attributable to these causes, to the lowering of individual efficiency, defy precise measurement.

It is not sufficient for the administrator to recognize that people react in about the same way under some sets of circumstances and much differently under other circumstances. It is not sufficient for him to





develop and issue statements of policy and operating instructions even though they may appear to be entirely sound and wholly appropriate in all apparent respects. He has a great personal responsibility which far overshadows any of the techniques he may employ. And one of the greater responsibilities which cannot be assigned, which cannot be delegated, of which he can never be relieved, is this. The setting of the right example for the guidance of his subordinate staff.

The capable administrator is a true leader who combines human resources in such a way that there is produced a harmony of effort that is satisfying to those led as well as to the leader. As a true leader he stimulates and vitalizes all who are contributing to the common effort, with his effective leadership resulting in attainments at levels those led had not suspected they could reach.

The able manager knows that the efficiency of his performance can be measured in but one way. By the efficiency of each of his subordinates, as an individual and as a member of the coordinated working force. He derives much satisfaction from the success of those who look to him for leadership, his subordinates, for he realizes fully that their success is his success. He is much concerned about their failures, for they are his failures as well. With this full recognition he conducts all of his official affairs in such a way that it is clearly evident to all that the interests of the members of his subordinate staff are always foremost in his mind.

Perhaps we are being too repetitive, but we are perfectly willing to take that chance, by mentioning once again that our primary objective in the administration of this course is to provide some help to present managers and to those who aspire to become members of the management

novels and other statements which are wholly untrue and though they may appear to be entirely sound and wholly appropriate in all other respects. It is a great personal responsibility which is placed upon the shoulders of the administrator in this matter. The administrator must be able to distinguish between the right and the wrong, which cannot be done without the aid of the right example for the guidance of his subordinate staff.

The capable administrator is a true leader who combines human qualities with a high degree of efficiency. He is a person who is able to inspire and vitalize all who are contributing to the common effort. He is a person who is able to see the big picture and to understand the needs of the organization as a whole. He is a person who is able to make decisions and to take action. He is a person who is able to lead his staff to the achievement of their common purpose.

The able manager knows that the efficiency of his performance can be measured in but one way. By the efficiency of each of his subordinates, as an individual and as a member of the organization. He derives much satisfaction from the success of those who look to him for leadership. His subordinates, for he realizes that they are his responsibility. He is a person who is able to make decisions and to take action. He is a person who is able to lead his staff to the achievement of their common purpose. He is a person who is able to see the big picture and to understand the needs of the organization as a whole. He is a person who is able to make decisions and to take action. He is a person who is able to lead his staff to the achievement of their common purpose.

Perhaps we are being too repetitive, but we are perfectly willing to take that chance, by mentioning once again that our primary objective in the administration of this course is to provide some help to present managers and to those who aspire to become members of the management staff.



force. If this is accomplished, those who have participated will find their work to be that much more interesting and enjoyable. This condition, alone, is one of the basic requirements for real individual achievement.

### THE GROUND RULES IN THIS COURSE

As we have said before, there are certain basic principles of administration which must be applied in any successful undertaking in which more than one person takes part. That is true with respect to the manner in which this course is organized and administered. Someone must call the signals. And those signals must be understood and accepted by those to whom they have application. And everyone must do his best to conform to the plan, and to the mode of operation that is prescribed.

The outline of operating practice for this course is designed to be complete and clear. But there is no basis for assuming that all will clearly understand or will fully accept the practices and procedures which are prescribed. There is no justification for presuming that our communications, in this regard, will be completely effective. That is true with respect to any cooperative undertaking. And this one is no exception. Recognizing this, we request that you review these ground rules and present to us any questions you may have about them. We will do our best, through the only medium available, to clear up any uncertainties.

### WE MUST BE FRANK AND FORTHRIGHT

Let's do our best to be good managers in the way in which we carry out our individual functions in connection with this course. We need





to keep in mind, at all times, a number of basic principles. If we don't we are certain to run into problems. Possibly they may not be serious ones but the fact that things don't run as smoothly as they should, according to our standards, is enough to make us stop and take a good look in an effort to determine why these less than wholly acceptable conditions developed.

To begin with, we can't afford to pull punches. If we did everyone would lose. You would be losing because we would not know exactly what your thinking is, what your viewpoints are. And when we offer our comments we would, of necessity, be basing them on something which did not reflect your true reaction. We are going to be perfectly frank and forthright with you and we expect that you will operate the same way.

Possibly, if we referred to a type of situation with which you are all familiar, it will help to explain just what we mean. No doubt you are familiar with work situations in which conditions exist about which we will talk a great deal later on, which cause individual employees to operate as "yes" men in dealings with their boss. Let us analyze this situation for a moment. When the members of a subordinate force always are inclined to agree with everything the boss says, and seldom if ever disagree with him, what is the result? It is simply this. In dealing with the condition under consideration there is only one mind, one set of experiences at work. And it is seldom, if ever, that the knowledge and the experience of the boss can begin to compare with the combined knowledge and experiences of the members of his subordinate force. When this condition exists its presence is clearly evident in the results that are produced. It is a condition which might be favorably compared with an eight-cylinder motor with only one of them functioning.

to look at work, to get some idea of what is going on. It is  
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 serious ones but the fact that things don't run as smoothly as they  
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and forthright with you and we expect that you will operate in the same way.

Fourthly, if we referred to a type of situation with which you are

all familiar, it will help to explain in what we mean. No doubt you are

familiar with work situations in which conditions exist about which we

will have a great deal to say and which will be of interest to everyone

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inclined to agree with everything the boss says, and seldom if ever

disagree with him when it is the result of his own ideas. In such cases

the condition under consideration there is only one mind, one set of

thoughts, one set of ideas, one set of feelings, one set of actions, one set of

and experience of the boss can begin to compare with the combined

knowledge and experience of the combined group of employees.

When this condition exists its presence is clearly evident in the results

that are produced. It is a condition which might be described as

with an organization in which only one of them is the boss.



We do not expect that you will always agree with us in everything we say. We expect, actually hope, that you will not. And when you do not, we will expect you to say so, to be critical, constructively critical. "Tell us off" if you feel like it. It will be good for you and helpful to us. Have the satisfaction of saying what you think. Say what you think not what you think we want you to say. For that is something, fortunately, you cannot be sure about. The way you operate, in this respect will serve as an important indication to us with respect to the extent to which you possess the basic qualities so essential in carrying out the responsibilities of the manager.

#### REQUIRES INTEREST AND EFFORT

You must be sufficiently interested in this undertaking. That is something you will have to judge, and control, pretty much yourself. Of course, it will not be very difficult for us to determine your degree of interest but we will be in no position to know the causes behind it if it should not happen to measure up the way we think it should. How well any job is done depends pretty largely upon the degree of interest of the individual who is doing it.

And it will take quite a bit of effort, on your part, as well. Probably we will all agree that effort and interest are pretty closely interrelated. Also, we will probably not disagree that how much we get out of something depends pretty much on what we put into it. Of course, we don't expect you to spend so much time and to work so hard on this course that it becomes a drudgery, something that you find hard to get at. You will have to be the judge of that. But at the same time, there are some rather logical conclusions that can be arrived at on this end, too.

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...we will expect you to say not to be critical, constructively critical.  
...Tell us on it you feel like it. It will be good for you and helpful to us.  
...Have the willingness of saying what you think. Say what you think not  
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...have as an important dimension to us with respect to the extent to which  
...the basic qualities so essential in carrying out the respon-  
...sibilities of the manager.

ACQUIRING KNOWLEDGE AND SKILL

You must be self-motivated in this learning. That is  
something you will have to judge, and control, pretty much yourself.  
Of course, it will not be very difficult for us to determine your degree of  
interest but we will be in no position to know the cause behind it if it  
should not happen to measure up the way we think it should. How well  
any job is done depends pretty largely upon the degree of interest of the  
individual who is doing it.  
And it will take quite a bit of effort, on your part, as well.  
Probably we will all agree that effort and interest are pretty closely  
related. Also, we will probably not disagree that how much we get  
out of something depends pretty much on what we put into it. Of course,  
we don't expect you to spend so much time and to work so hard on this  
...that it is a necessary condition for the learning process.  
...the will to be the best. That is the essential, primary way  
some rather logical conclusions that can be arrived at on this end, too



You are, right now, a manager. Or you are not yet a manager but expect and hope to become one before too long. In any event we hope that we are right in presuming that you want to be an especially capable manager. And that you want to go higher in the management field, to bigger and better jobs. If our assumption is correct, and we certainly hope that it is, it will pay you to display real interest, and to expend real effort, in this whole management business, because that is what it is, your business.

### WHAT WE SHOULD EXPECT TO ACCOMPLISH

You have every right to know what you should expect to get out of this course. And you certainly have the right to expect to get something, some benefits, which will be of help to you in your present job and in the ones that you later occupy.

You should expect to acquire some additional knowledge with relation to the total field of management. This should take the form of information about some of the basic principles with which every manager must be fully familiar. And you should expect to learn of practices, of procedures, and methods and the kind of results that they will produce. The material we will consider will include rather detailed descriptions of practices some of which you may be familiar with and some of which you may not. And the practices cited will be of both kinds, desirable as well as undesirable. But perhaps the most basic type of information will relate to the circumstances that are produced when certain basic principles are adhered to, and when those principles are disregarded. You will discover certain areas, certain facets, which you will want to look into much further. And we hope that you will. Based on our reaction to your response we will attempt to identify for you some of the things that we think it would be worth your while to delve into a little deeper.





It probably would be advisable to pause a moment right here and make one thing perfectly clear. And that is, that all of the answers to all of the questions and problems inherent in the total management field are not wrapped up in this course. Of course, that is true in the study of any science. We first have to learn and then we have to become able to apply successfully what we have learned. And we learn a great deal in that process of application. You will have to work at the business of increasing your knowledge and of increasing your ability to apply. You will have to work at it all of the time because the time will never come when you or anyone else, can sit back and with extreme satisfaction declare that you have now arrived.

You will want to apply these things that you learn in your day-to-day operations. You will want to see what works best, and to profit from all of your experiences, both good and bad. And another important thing. You will want to be critical, constructively critical of your own management and of the management of others. The opportunity to do this is virtually unlimited. And the benefits you may thereby gain are not subject to a great deal of limitation either. There is another way open for you to derive rather considerable benefit, in addition to the satisfaction you get from knowing that you are able to do a better job. This is a good chance to show your boss, and the other big bosses, just how capable a manager you are. This is something in which they are vitally interested. One of their big jobs is to develop the many managers who are needed to take over new positions and to fill in behind the other managers in the organization, all of whom will leave sooner or later. When you demonstrate what you are capable of doing you are helping the bosses, helping them do their jobs. And don't forget that you are helping yourself too, as well as all of the folks who ever work for you.

It probably would be advisable to pause a moment right here and make one thing perfectly clear. And that is, that all of the answers to all of the questions and problems inherent in the total management field are not wrapped up in this course. Of course, that is true in the study of any science. We first learn the science and then we have to use it to solve the problems of the world. And we learn a great deal in that process of applying the science to the business of increasing your knowledge and of increasing your ability to apply it. You will have to work at it all of the time because the time will never come when you or anyone else, can sit back and with entire satisfaction declare that you have now arrived.

You will want to apply these things that you learn in your own business. You will want to see what works best, and to profit from all of your experience with good and bad. And another important thing. You will want to be critical, constructively critical of your own management and of the management of others. This is vitally important in business and in life. The opportunity to be critical is a great deal of limitation. There is another way open for you to develop your considerable heredity, as shown in the following paragraphs from the book. You are to do a better job. You are to be able to do a better job, and the other big reason, just because you are able to do a better job. This is something in which they are vitally interested.

Their big job is to develop the many managers who are to do a better job. And in this is the other managers in the organization. All of whom will leave sooner or later. When you demonstrate what you are capable of doing you are helping the business, helping them do the job. And don't forget that you are helping yourself too, as well as all of the others who ever work for you.



And finally, some of the working tools, which you cannot do without, you will acquire in the course of this activity and they will prove to be of great value to you in the future. We refer, of course, to the study materials, the other references we recommend or furnish to you, your responses to the individual work assignments, and our comments about your responses. You will probably find it very interesting and of some help, to retain all of these and to refer to them from time to time.

### THE MATERIALS WE WILL USE

All of the materials we will use are identified in the following tabulation:

1. The entire course consists of 17 units. The first one, "Introduction and Ground Rules," is the one you are now reading.
2. The remaining 16 units are referred to as Sections, with each Section numbered from 1 to 16. Each Section relates to one topic or subject. We have attempted to arrange them in the order which appears to be most logical. You can readily determine the nature of the subjects covered by referring to the course content sheet which appears in the front of this first unit. Each of these units will be bound between two lightweight covers.
3. Each of these Sections consists of study material and a Work Assignment based on that material
4. At intervals throughout the period when you are taking this course we will send you other carefully selected material. Normally, it will consist of articles, or excerpts, reflecting the expressed views of recognized authorities in this field. We will also furnish you with

and finally, I am sure that you will find the study of great value to you in the future. We refer, of course, to the study of the individual work assignments, and our comments on your responses. You will probably find it very interesting and of some help, to retain all of these and to refer to them from time to time.

THE MATERIALS TO BE USED

All of the materials we will use are identified in the following

tabulation:

1. The entire course consists of 17 units. The first one, "Introduction and General Principles," is the one you are studying.
2. The remaining 16 units are referred to as sections, with each section numbered from 1 to 16. Each section consists of two parts: a. The first part is the material to be studied. b. The second part is the material to be used in the laboratory. The material to be studied is the material which appears in the text of this book. The material to be used in the laboratory will be found between the left-hand and right-hand margins of the text of this book. Each section is identified by a number and a letter. For example, section 1, part a, is identified by the number 1 and the letter a. The material to be studied in section 1, part a, is the material which appears in the text of this book. The material to be used in the laboratory in section 1, part a, is the material which appears between the left-hand and right-hand margins of the text of this book.



a bibliography of carefully selected references. Almost without exception, these references will be obtainable from the larger public and Government libraries. There is a very definite reason for furnishing you with materials of this character and with a bibliography in order that you may engage in additional study. This is done for the reason that we are firmly convinced that managers have need for working tools of this character to the same degree as do engineers and lawyers and doctors and auditors and accountants and all others like them.

5. You may want to purchase certain books and other publications which deal with the field of management. We will be glad to help you in every way possible and urge that you make your selections very carefully. Naturally, some publications are of much greater value than others.
6. We will furnish you with standardized forms on which to develop the work assignment material which you submit. We will follow a similar practice when giving you our comments on your work assignment responses. This is being done in the interest of convenience for you in storing the materials which accumulate.
7. All of the materials we have referred to, with the exception of the publications obtained from outside sources, will be prepared for placement in a ring binder. It is probable that these binders will also be furnished.

- exception, these references will be available for the larger public and Government libraries. There is a very definite reason for furnishing you with materials of this character and with a bibliography in order that you may engage in additional study. This is done for the reason that we are firmly convinced that managers are used for working tools of this character to the same degree as do engineers and lawyers and doctors and auditors and accountants and all others like them.
2. You may want to purchase certain books and other publications which deal with the field of management. We will be glad to help you in every way possible and urge that you make your selection very carefully. Especially, some publications are of much greater value than others.
3. We will furnish you with standardized forms on which to develop the work statement material which you submit. We will follow a similar practice when giving you our comments on your work statement reports. This is being done in the interest of convenience for you in stating the material which you submit.
4. All of the materials we have referred to, with the exception of the publications referred to as outside sources, will be provided for payment in a cash fund. It is further stated that these items will also be furnished.



### HOW THIS COURSE WILL OPERATE

1. You should plan to complete this course in from six to twelve months. This timing suggestion is, of course, approximate. However, we urge that you make no attempt to complete it in a shorter length of time and we hope that you will try to finish up by not much over a year.

We consider this suggestion, with relation to timing, to be very legitimate. Within reasonable limits, the longer this association continues the more you will get out of it. To attempt to complete all of the assignments in a period shorter than six months would probably result in some loss to you. It would necessitate adherence to a too tight schedule. In addition, you would have less opportunity to think through, and to apply, the material discussed, as well as the additional material you may be able to review. To extend the course much beyond one year would probably tend to result in disruption of continuity to a deterrent degree.

2. We will send you each of the sections in the order in which they are numbered. With the exception of Section 1, which is a judgment test, each section will consist of study material and a work assignment based primarily on the study material.

No additional text is provided nor is one required. However, from time to time we will send you selected reference items as well as a bibliography of references some of which you may want to obtain and review.

When you have completed Section 1, which is Test "A", you should send in your answer sheet in the manner indicated in the instructions preceding the test material.

After we have graded your Section 1 test results you will be furnished with your test grade, together with any comments considered appropriate.

## HOW THIS COURSE WILL OPERATE

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2. We will send you each of the sections in the order in which they are numbered. The exception of Section I, which is a judgment test, each section will consist of study material and a short assignment, based primarily on the study material.

No additional text is provided nor is one required. However, from time to time we will send you selected reference items as well as a bibliography of references some of which you may want to obtain and review.

When you have completed Section I, which is Test "A", you should send in your answer sheet in the manner indicated in the instructions preceding the test material.

After we have graded your Section I test results you will be furnished with your test grade, together with any comments considered appropriate.



At the same time we will send you Section 2. This same pattern will be followed throughout the course.

In connection with each of the sections following Section 1, we will review your work assignment responses, enter notations on the material you submit whenever that appears desirable, and we'll prepare a brief set of comments reflecting our reaction to the views you have expressed. Each of the work assignment responses you send in will be returned to you with our comments. Of course, you will receive the material for the next section at the same time.

3. The study material for each section should be reviewed carefully and should be augmented by the study of other material relating to the main subject.

We suggest that you set a general schedule designed to permit the completion of each section in a period of from two to three weeks.

The work assignments are designed to permit you to demonstrate the knowledge acquired through study of the text and, of even greater importance, to express your views as to the manner in which this knowledge may be applied effectively in the work situation. Many of the work assignment questions will request that you describe actual conditions with which you are familiar. You are cautioned to avoid revealing identities, locations, and so forth. It is important, however, that you confine your comments to actual conditions to the fullest extent possible. The reasons for this request are many and obvious. Just one of the reasons is that any attempt to develop hypothetical situations is almost certain to result in omissions which will tend to reduce effectiveness to a substantial degree. And another important reason is that any individual with a number of years' work experience will have no difficulty in selecting appropriate cases based on that work experience.

At the same time we will send you Section 2. This same pattern will be followed throughout the course.

In connection with each of the sections following Section 1, we will review your work assignment responses, enter comments on the material, and submit whenever that appears desirable, and we'll prepare a brief set of comments reflecting our reaction to the views you have expressed. Each of the work assignment responses you send in will be returned to you with our comments. Of course, you will receive the material for the next section at the same time.

The study material for each section should be reviewed carefully, and should be augmented by the study of other material relating to the main subject.

We suggest that you set a general schedule designed to permit the completion of each section in a period of 10 to 15 days. The work assignments are designed to permit you to demonstrate the knowledge acquired through study of the text and, of even greater importance, to express your views on the material in which this knowledge is applied. It is the purpose of the work assignments to develop questions will request that you describe actual conditions with which you are familiar. You are requested to express your views on these conditions and so forth. It is important, however, that you confine your comments to actual conditions to the fullest extent possible. The reasons for this request are many and obvious. Just one of the reasons is that any attempt to develop hypothetical situations is almost certain to result in conclusions which will tend to reduce effectiveness to a substantial degree. And another important reason is that any individual with a number of years' work experience will have no difficulty in selecting appropriate cases based on that work experience.



4. Your responses should be sufficiently complete and thorough to present clearly all pertinent features. At the same time, they should be appropriately concise.

5. The grading of your work assignment responses will be based on a number of considerations. Some of the more important features we will consider are these.

- a. Evidence of interest.
- b. Evidence of effort.
- c. Thoroughness of treatment of the subject.
- d. Validity of the views and opinions you express.
- e. Extent of evidence of supplemental study.

It is entirely probable that individual work responses which we consider to be particularly good, will be brought to the attention of some of your big bosses.

We talked a lot longer than we originally planned to in this first unit. As a result, it might appear that the field of management has already been covered rather thoroughly. We assure you that is not the case. We've not even scratched the surface yet. During the next 6 to 12 months we will try to do that and a little bit more.

From here on, it's up to you and to us. Let's both try to get a good start.

Remember, if anything we have said to this point, or anything we say from here on, is not entirely clear, be sure to let us know. We wouldn't be doing a very good job of managing this project if we failed to see to it that you know everything you need to know and the additional you want to know that you have a right to know.

Your responses should be sufficiently complete and thorough to present clearly all pertinent features. At the same time, they should be appropriately concise.

The grading of your work assignment responses will be based on a number of considerations. Some of the more important features we will consider are these.

a. Evidence of interest.

b. Evidence of effort.

c. Thoroughness of treatment of the subject.

d. Validity of the views and opinions you express.

e. Degree of evidence of independent study.

It is entirely possible that individual responses which we deem to be particularly good will be brought to the attention of some of your big bosses.

We talked a lot longer than we originally planned to in this first unit. As a result, it might appear that the kind of management has already been covered rather thoroughly. It seemed to me that it had not. We will have a discussion of the subject you. During the next 5 to 15 minutes we will try to do that and a little more.

From here on, it's up to you and to us. Let's both try to get a

good start.

Remember, if management has been said to this point, it appears to

very much have to be not entirely clear, be sure to let us know. We wouldn't be doing a very good job of managing this project if we failed to see to it that you know everything you need to know about the situation you want to face that I have a right to know.









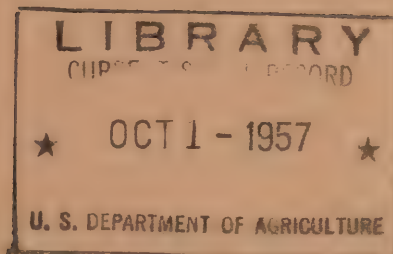
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*Administratively Confidential* \* - \*

*George A. Young*  
*agriculture department*

*Revised 9/30/57*  
*2/67*

UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION



CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 1  
ADMINISTRATIVE AND SUPERVISORY  
JUDGMENT TEST "A" (REV. 1)

\*  
\* \*

WASHINGTON, D. C.  
1957





UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE

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CORRESPONDENCE COURSE  
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WASHINGTON, D. C.  
1957

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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 1 -- ADMINISTRATIVE AND SUPERVISORY JUDGMENT TEST "A"  
(REV. 1)

The Purpose Of This Test

1. To acquaint you with some of the most common situations confronting the average manager.
2. To give you an opportunity to evaluate your own ideas, viewpoints, and practices with relation to the administrative function.
3. To bring out into the open specific management policies and practices, some of which are appropriate and some that are not.
4. To give you an overall picture of the material that we will consider in this course.

Restrictions Applying To This Test Material

You realize, of course, that the value of this material, to the participant, would be reduced substantially if no limitations of access were prescribed. The test questions are preceded, on page 1, by the restrictions which apply to this material. We request that these restrictions be respected fully.





The Test And Instructions For Taking It

1. The test consists of 50 questions, or situations, numbered from 1 to 50.
2. For each question there are five possible answers, which are lettered A, B, C, D, and E.
3. An answer sheet is provided on which the numbers 1 to 50, and the letters A, B, C, D, and E are listed. These numbers correspond to the questions and possible answers in the test.
4. In taking the test you should read the question and then read all the possible answers. You should then decide on the one possible answer which you think is the best answer for the question or situation as it is phrased. You then mark - or block in - on the answer sheet the space which reflects the answer you have selected.
5. For example, if you think that "C" is the answer to question 1, then mark the answer sheet like this:  

1.    A B C D E  
      | | | ☒ | |
6. Use a rather blunt soft lead pencil and fill in the block completely.
7. Allow yourself 90 minutes, nearly 2 minutes for each question, in which to take the test.
8. When you are ready to get started, fill in the heading of the answer sheet, turn to page 1 and proceed as indicated through question number 50.





SEND in the Answer Sheet, but Temporarily Retain the Set of Questions.

1. As soon as you have completed the test, mail the answer sheet to:

Director, Personnel Division  
Agricultural Marketing Service  
United States Department of Agriculture  
Washington 25, D. C.

in an envelope with the words "Management Course" appearing on the front.

2. When you mail us your Section 2 Work Assignment, send us the set of questions for Test "A."

#### How These Test Results Will Be Used

1. We will grade your answer sheet, will indicate with a check mark the questions answered incorrectly, and return it to you.
2. You should review the questions which were not answered correctly. Be sure to send us the set of questions as indicated above.
3. Throughout the course attempt to relate the test situations to the subject matter we will consider in each of the course Sections.

Be sure to save these instructions. They will apply when you take a similar test, Test "B" at the conclusion of the course.





UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 1 - ADMINISTRATIVE AND SUPERVISORY JUDGMENT TEST "A"  
(REV. 1)

Mandatory Restrictions Applying To This Test Material

1. Revealing any of the contents of this test to any person not participating in this course is prohibited.
2. Copying or reproducing in any form any of these questions or answers is prohibited.
3. This set of test questions will be retained no longer than necessary to complete this assignment.
4. The complete set of test questions will be returned with your Section 2 Work Assignment.
5. Refrain from entering pencil or other markings on the set of questions.

The following questions are numbered 1 through 50 with five possible answers, A - B - C - D - E, provided for each question.

1. Most administrators are at times faced with situations which must be solved but which require the application of extremely unconventional methods. For example, a very conscientious high level administrator discovered that an immediate subordinate was deriving considerable personal gain from official transactions at the expense of the organization. Because of the basic character of this employee, it was a virtual certainty that he would continue the practice and that such violations would become increasingly serious. The administrator was convinced that one of his major responsibilities was to effect the removal of this employee. The administrator was required to obtain the approval of officials of a superior office before taking action for removal. His superiors would not accept the true facts, basing their views on the irrelevant fact that the employee's records were in excellent shape. Which one of the following methods would it be most logical for the administrator to





follow in effecting the ultimate removal of the offender?

- A. Confront him with charges which could not be supported.
- B. Turn the case over to the administrator's superior office for handling.
- C. Give him plenty of rope, watch for the opportune time and then step in and clean up an extremely serious situation.
- D. Attempt to get him transferred to another unit in the organization.
- E. Leave him alone.

2. Which one of the following sets of qualifications is it most important for the inspector to possess?

- A. Generally considered capable, mature, and thoroughly experienced in more complex but totally unrelated fields.
- B. Has the reputation of questioning the validity of nearly every statement that is made as evidence of his ability as an investigator.
- C. Basically experienced, and interested, in the functions being inspected and a sincere desire to gather and record impartially all the true and pertinent facts.
- D. A hale and hearty fellow who never antagonized anyone during previous inspections.
- E. Thoroughly experienced and particularly interested in only one of the functions to be inspected.

3. Under one of the following conditions a staff officer is authorized to issue binding instructions to a line official (other than a subordinate of the staff officer.) Which one is it?

- A. When the staff officer discovers that the responsible line-employee is violating the instructions of his superior.
- B. When the staff officer concludes that an emergency exists.
- C. When the responsible line officer concludes that the staff officer is more proficient, in the current instance, than he is.
- D. In the absence of the line official's immediate superior.
- E. When the instruction relates to a function or activity over which line authority has been specifically delegated to the staff officer.





4. An administrator is leaving town for several weeks and his assistant who will assume the administrator's functions during his absence, will be unable to contact the administrator while he is away. During this period the assistant is confronted with a difficult situation which must be resolved promptly. The assistant handles the case in line with established policy and displays excellent judgment in deciding upon the course of action to follow. Nevertheless the results were far from acceptable for reasons over which the assistant had no control. Upon the administrator's return it would be appropriate for him to

- A. Tell the assistant he is very displeased and tell the assistant that he should have delayed action on the case until the administrator's return.
- B. Offer no positive comment of any kind.
- C. Severely penalize the assistant.
- D. Tell the assistant that he would not again leave him in charge.
- E. Discuss the case thoroughly with his assistant, admit that he would have taken the same action had he been handling the case, and cooperatively decide upon a more acceptable course of action should similar circumstances recur.

5. Only one of the following statements is true. The others are false. Which one is true?

- A. Each employee knows how his boss thinks he is doing his job without his boss telling him.
- B. An employee should be told how well he is performing only when he requests such information.
- C. Most employees are not interested in knowing what the boss thinks about his performance.
- D. Most all employees are vitally concerned about the boss' views concerning their performance.
- E. All employees are fully capable of evaluating accurately their own performance.

6. One of the following statements is true. The others are false. Which one is true?





6. (Continued:

- A. It is always best to assign an employee only those responsibilities that are clearly below the limits of his capabilities.
- B. An outstanding technician or scientist is usually a better than average administrator.
- C. An efficient administrator never admits to a subordinate that he doesn't know the answer to every problem.
- D. A subordinate will not respect his boss if the boss frequently asks for and frequently accepts the subordinate's ideas.
- E. A thoroughly trained employee may operate, on the basis of his training, in a wholly unacceptable manner.

7. The quality of supervision supplied by individual employees varies considerably. It is important that the best supervisory practices be followed at all administrative levels. Only one of the following statements is considered to be incorrect. Which one do you think is incorrect?

- A. Nearly every employee wants his supervisor to be well qualified.
- B. The quality of supervision in the higher levels usually has a strong influence on the quality of supervision in the levels below.
- C. An administrator should be trained for his job to the same degree as any other specialist.
- D. Training in non-supervisory specialties often proves handicapping in performing administrative functions.
- E. The heads of the large organizational units of any organization are always the best supervisors in that organization.

8. The selection of people who will turn out to be fully competent supervisors and administrators, after a reasonable period of training, seems to present a major problem in many organizations. Which one of the following is the poorest basis for selecting managers from a group of non-supervisory employees?

- A. Select those who have proved to be the hardest workers.
- B. Consider the viewpoints of staff members who are familiar with the qualifications of candidates.
- C. Select on the basis of the combined judgment of qualified staff and the official record.
- D. Select from those who have clearly demonstrated the ability to manage efficiently a sizeable group of subordinates.
- E. Consider all of those who have demonstrated that they possess at least some of the required qualifications.





9. Before it is possible to state with an acceptable degree of accuracy that the quality of management practices in any organizational unit is excellent, good, fair or poor which one of the following conditions must exist?

- A. All management inspections must be made by staff officers.
- B. All procedures must conform to a uniform format.
- C. The responsibility for maintaining a high standard of management must rest solely with appropriate staff officers.
- D. Appropriate management standards must be developed and provided to each official having managerial responsibilities.
- E. The "Personnel" Office must be adequately staffed.

10. Which of the following is the least important result derived from an inspection?

- A. The files will reveal that inspections have been made with the frequency prescribed by superior headquarters.
- B. Inspected unit employees are given an opportunity to display their accomplishments.
- C. Inspected unit employees are given the opportunity to discuss their operations with official superiors.
- D. Inspected unit employees and inspecting officers may arrive at a common understanding with respect to operational standards.
- E. Quality of operations are determined.

11. After an administrator has delegated full responsibility for a specific function to a subordinate the administrator frequently receives routine telephone inquiries concerning that function from other members of his staff and from people outside the organization. The administrator frequently is fully capable of answering the inquiries. Which one of the following represents the administrator's best course of action in virtually all such instances?

- A. He should explain that he could supply the information but wants to build up a subordinate's confidence so will let him provide the answer.
- B. He should explain that one of his people is very familiar with that topic and will be able to provide much more accurate information than he could so he is going to ask this official to talk to the inquirer and supply the information desired.
- C. He should personally dictate a full reply.
- D. He should receive the complete inquiry in detail and pass it on to the responsible subordinate for answering.
- E. He should provide the inquirer with a complete answer.





12. Responsible employees of the unit scheduled for inspection should be given full information, well in advance, regarding the planned inspection, because

- A. The unit head may tell all employees to furnish only the information requested by the inspectors.
- B. Affected employees may properly plan their operations so that the maximum benefit will result from the inspection.
- C. Superior officers have ordered that inspections be given advance publicity.
- D. The head of the unit to be inspected will be able to arrange for the absence of subordinates who might reveal unauthorized practices of the unit head.
- E. They will then have a chance before the inspection to correct the things they know are substandard.

13. When a personnel "problem" case develops the able administrator will always

- A. Delay action until it can be discovered by an inspector.
- B. Face the issue promptly and carry the case through to completion to the best of his ability.
- C. Promptly furnish the organization's "Relations" Officer with a verbal report and request that he handle the case without further reference to the administrator.
- D. Attempt to arrange for the transfer of the problem employee.
- E. Wait to see if it won't blow over.

14. Which one of the following statements best describes the total group of employees in any organization appropriately referred to as "management personnel?"

- A. Collectively, the several groups connected with the staff functions of personnel administration, fiscal, space, supply, accounting and similar matters.
- B. The highest level administrator.
- C. Those who take part in planning operations, procedures and methods and direct the carrying out of one or several phases of the operations of the organization.
- D. Those employees in the "Personnel Management" unit.
- E. Those who are directly connected with the "Management Improvement" staff unit.





15. In many large organizations it is the standard practice to require that new employees serve a "probationary" period of several months, or up to a year. The new employee's supervisor thus has the opportunity to determine the suitability of the employee for the work before he becomes too firmly entrenched in the job. Many "new" employees are obviously young people whose careers are just starting. It is important that the supervisor do the best possible evaluation job and act immediately and forthrightly on discerning that the employee is not suited for the work because

- A. It costs too much to keep the new employee on longer.
- B. It is unfair to the employee to let him continue indefinitely in a field of work in which he will probably not experience a satisfactory career.
- C. It is too much of a job to discharge him later.
- D. It will prove that the supervisor won't have anything put over on him.
- E. The supervisor can get another employee on the job quicker.

16. Which one of the following factors is the most important in developing plans for understudy assignment for training purposes?

- A. To make certain the understudy is not given the real reason for this assignment.
- B. To limit all such assignments to an identical period of time.
- C. To start the assignment at the beginning of a heavy work period so the understudy will appreciate how tough the job is.
- D. To make certain that without exception each understudy is ultimately assigned to the specific position in which understudy training is received.
- E. To make certain to select a wholly competent trainer.

17. In developing an annual plan of work for his organization the worst practice for the responsible manager to follow is to

- A. Request subordinates to assemble and record their recommendations well in advance.
- B. Get a high level staff officer to develop the plan in cooperation with the manager's subordinate staff.
- C. Call his staff together for periodic conferences to develop individual unit plans and to consolidate into a coordinated organization plan.
- D. Assign his assistant the job well in advance, instructing him to work with subordinate line officials in the development of unit proposals for presentation at a full staff conference well before the work year starts.
- E. Work up the plan himself and distribute copies to subordinates a few days in advance of the work year.





18. An administrator follows the practice of having periodic meetings of his immediate staff. Which one of the following practices is it more important, in your opinion, for the administrator to follow?

- A. Never let these meetings run over an hour and a half.
- B. Always schedule these meetings at the same hour on the same day.
- C. Occasionally arrange for each staff member to serve as conference leader.
- D. To devote most of the time at each meeting to a talk by the administrator.
- E. Have these meetings at precisely uniform intervals.

19. Which one of the following statements indicates the best basis for determining the quality of management practices in any organization?

- A. By talking to the people in high level administrative positions.
- B. By determination of the practices that are actually followed.
- C. By getting a report from the head Personnel Office.
- D. By studying the formal educational qualifications of administrative officials.
- E. By reviewing the policies and instructions that have been issued.

20. Which one of the following conditions is the surest indication that a supervisor is not doing an acceptable job?

- A. He goes out of his way to get to "know" his people.
- B. He attempts to avoid new restrictive regulations as a means of attempting to avoid the recurrence of violations on the part of a small minority.
- C. He is defended by his people in their outside discussions.
- D. His subordinates operate no differently in his presence than in his absence.
- E. His subordinates will not take their problems to him.

21. An administrator has an immediate subordinate force of eight supervisors. Seven are obviously competent, have been in their jobs for several years, like their work and think their boss is a right fellow. The other supervisor is in a similar job, has been on it for a somewhat less time, and receives the same treatment as the others. But this one, who was transferred in from another department, is always beefing, says he gets picked on all the time, never gets any breaks, thinks he is a lot more capable than his boss and tells everyone that if the outfit was run fairly he would be up near the top by now. This administrator, who is obviously





very competent, will analyze this problem and probably decide that one of the following courses of action is best. Which one do you think he will decide on?

- A. Recommend his dismissal.
- B. Give him special and preferred assignments.
- C. Attempt to get him promoted to a higher administrative position.
- D. Recognize that his is probably an extreme temperament mal-adjustment case and obtain professional assistance in coping with the problem.
- E. Recommend the transfer of the disgruntled subordinate.

22. Which one of the following practices, by an administrator, produces the most disruptive and demoralizing effect upon his subordinate staff?

- A. The administrator is occasionally absent without letting his staff know beforehand.
- B. The administrator occasionally engages in friendly discussions with employees "way down the line."
- C. The administrator evidences sincere concern about the personal welfare of the members of his unit.
- D. The administrator frequently asks members of his immediate staff to act for him in his absence.
- E. It is the standard practice for the administrator to by-pass his immediate staff and issue orders to subordinates of his immediate staff.

23. In a large Federal agency it is the policy of several of the individuals serving as administrative heads of sizeable units to refuse to release well-qualified subordinates for more desirable assignments in the same organization and in other Federal agencies. The reason given is always the same - they can't afford to lose them. One of the following statements is considered to be correct and the others are considered to be incorrect. Which one do you think is the correct one?

- A. These subordinates will understand the situation and continue to operate as before.
- B. A condition of high morale is certain to result from this practice.
- C. The administrative heads who make these decisions are applying sound management principles and are evidencing attitudes which prove they are well qualified for even higher administrative assignments.
- D. This is a deplorable administrative practice and the responsible officials should be brought into line.
- E. Denial of release is usually justified as the work would suffer too much.





24. The organization of a large agency of the Federal Government includes an Employee Relations Officer with a small but reasonably adequate staff. Which one of the following operating practices on the part of this officer and his unit will produce the worst results, both currently and in the long run?

- A. Top management to instruct line officers to refer all grievance cases to the relations officer for complete and independent handling and to operate according to that instruction.
- B. To advise and counsel line officers in handling their personnel problems.
- C. To always attempt to determine the underlying basic cause of the problem and recommend remedial measures with the view of avoiding recurrence.
- D. To consider that the primary function of this unit is to help prevent problems from developing rather than solving them after they do develop.
- E. To keep all employees fully informed concerning regulations, practices and privileges which are important from the standpoint of individual employee welfare.

25. In an organization the Unit Head reports to the Section Head, the Section Head to the Division Head and the Division Head to the Branch Head. While the Branch Head is on a routine inspection at the unit level he discovers the Unit Head following a practice that is contrary to a Branch policy of long standing. Immediate correction is desirable but not urgent. The appropriate course of action for the Branch Head is to

- A. Order the Division Head to instruct the Unit Head to make the change.
- B. Discuss with the Unit Head, and suggest that he take it up with the Section Head.
- C. Order the Unit Head to make the change.
- D. Say nothing to anyone but after a few weeks delay report it in writing to the Division Head.
- E. Say nothing to the Unit Head but order the Section Head to make the change.

26. The employees in an organization earn leave with pay which can be taken at the employee's option if his absence will not seriously disrupt the work. Which of the following practices is most appropriate for supervisors to follow in considering leave requests?





26. Continued

- A. Require the employee to furnish a detailed explanation of the reasons for requesting leave.
- B. Never decide whether or not the leave will be granted until the day before the requested leave period will start.
- C. Recognize that the reasons the employee is requesting the leave is no legitimate concern of the supervisor and approve the request if the work will not seriously suffer.
- D. The supervisor should always get his boss to approve the leave request before he does.
- E. Require that all requested leave be signed for before it is taken.

27. A Unit Head has a vacancy to fill. He interviews several applicants and in all respects adheres to the standard recruiting practice of the agency. He makes no commitments to any applicant but tells each that further investigation will be made and the applicant considered best qualified and determined to be otherwise eligible will be appointed. Final selection is made in strict accordance with prescribed policy and good judgment. The aggressive wife of one unsuccessful applicant contacts one of the top level administrators, contends the selection was unfair and in general raises Cain. The administrator is very perturbed and confers with the Unit Head's supervisor and the personnel officer to determine what action to take. Which one of the following courses of action, on the part of the administrator is clearly the best?

- A. Reverse the decision and employ the applicant with the aggressive wife.
- B. Issue an order that the vacancy will not be filled.
- C. Let the original selection stand but also appoint the other applicant and make a spot for him.
- D. Explain to the Unit Head that he performed properly and his action will get full backing.
- E. Fire the Unit Head.

28. Assume that all of the officials of a large organization, referred to in the following, are highly competent. Which one is certain to have the most "free" time to sit back and do some thinking about the operation for which he is responsible?

- A. The first line supervisor.
- B. The Budget Officer.
- C. Any one of the "middle management" group.
- D. The chief of Personnel Management.
- E. The highest ranking administrative official.





29. Under which one of the following conditions is the supervisor justified in concluding that he did an effective job of administering a reprimand to a subordinate?

- A. When the subordinate indicates tacit agreement to everything the boss has to say.
- B. When the subordinate argues vehemently and at the conclusion still thinks he was right.
- C. When the supervisor arranges for the others in his unit to become completely familiar with the details of what took place when he "told off" the offender.
- D. When the subordinate voluntarily admits his mistake and it is evident that he will benefit from the action.
- E. When the subordinate has nothing to say.

30. Due to serious illness in his family a loyal and conscientious employee requested approval of his boss to reside temporarily at home and commute a reasonable distance to the job, instead of residing at the work location which was the normal requirement, but of questionable necessity. The boss refused the request, justifying denial with the statement - "I hired you, not your family." Considering this incident, which one of the following statements is, in your judgment, most appropriate?

- A. The boss evidenced extreme incompetence in his flat denial and extreme ignorance in his justifying statement.
- B. The boss had to refuse to maintain discipline.
- C. The employee's request was unreasonable.
- D. The boss was right in his belief that family conditions never have any influence on an employee's work.
- E. The boss was justified in refusing.

31. A Unit Head has a decentralized staff of six field administrators, each with the same general function and comparable levels of responsibility in six distinct and separate geographical areas. Four of the group are thoroughly experienced in their present assignments but the other two are quite new and by comparison are relatively inexperienced. In making delegations to his staff it would be best for this administrator to

- A. Limit all delegations to the capabilities of the two who are inexperienced.
- B. Assign individual delegations in line with individual experience and capabilities.
- C. Make hazy delegations to the inexperienced ones so there will always be an out if they fail.
- D. Make more extensive delegations to the inexperienced ones than to the others to determine quickly if the new men can make the grade.
- E. Make identical delegations to all six based on the capabilities of the four with the most experience.





32. Which one of the following statements concerning disciplinary action is true?

- A. An employee is disciplined only when he has done something wrong.
- B. An employee is disciplined when he is given deserved praise by his supervisor.
- C. Disciplinary action should never be administered in private.
- D. Adverse disciplinary action should usually be administered by a staff officer not in the recipient's superior chain of command.
- E. Any disciplinary act always includes a reprimand.

33. The administrator of a fairly large organization follows the practice of designating a member of his staff to act for him during his occasional absences which usually are for less than ten days. Under such arrangement which one of the following practices is it most important for the administrator to follow?

- A. Assign to the acting subordinate a heavy load of work to be completed before the administrator returns.
- B. Make certain that his superior and all other subordinates know who has been designated to act for him in his absence.
- C. Instruct the acting subordinate to send him a detailed daily progress report of routine activities.
- D. Refrain from telling the acting subordinate where he is going and when he will return.
- E. Impress the acting subordinate with the gravity of the responsibility placed upon him.

34. Which one of the following is the most important characteristic of an annual plan of work for an organizational unit?

- A. Long range objectives and operations are stated clearly but in a general way and short range objectives and operations are stated specifically and in detail.
- B. All holidays are properly accounted for.
- C. The format is attractive and uniform throughout the entire organization.
- D. The plan meets the specifications set by the central office rather than the requirements of the jobs for which the plan is developed.
- E. It is brief.





35. Each employee who is properly treated has ideas as to how the work could be done better. When an employee goes to his boss to offer his suggestions it is best for the boss to

- A. Stop what he is doing and listen.
- B. Listen at the beginning and then tell the employee it won't work.
- C. Listen to enough to get the general thought and, if it is good, adopt it as an idea of his own.
- D. Tell the employee to write it up during off-hours and put it in the suggestion box.
- E. Tell the employee to try him again when he is not so busy.

36. A competent staff officer is inspecting an operation in company with the line officer responsible for that operation. The staff officer discovers a practice which he considers improper but which is not covered by specification or specific policy. He insists that the responsible line official immediately adopt a radically revised operating practice. Which one of the following courses of action, on the part of the line officer, is most appropriate?

- A. Fully consider the suggestion, decide upon the degree of acceptance or rejection he considers proper, and act accordingly.
- B. Immediately reject the suggestion.
- C. Give no consideration to the suggestion.
- D. Immediately install the suggested practice but tell the worker on the job to revert to the original practice as soon as the staff officer leaves.
- E. Immediately install the suggested practice.

37. Which one of the following conditions with respect to the individual personnel file of a better-than-average employee with ten or more years' service in one organization, will most conclusively indicate the presence of sound management practices?

- A. Precise arrangement of material according to prescribed pattern.
- B. A number of unsupported derogatory statements.
- C. Two letters of reprimand and no commendations.
- D. Several requests for the employee's transfer to higher jobs and replies to the effect that he cannot be spared, with the employee's initials appearing on none of these documents.
- E. A substantial number of commendatory memoranda.





38. Under which one of the following circumstances is an administrator justified in issuing a direct order to a member of the staff of one of the administrator's immediate subordinates in the absence of that subordinate?

- A. When the administrator knows more about the work that the employee who is doing it.
- B. When the administrator is inspecting the operation in company with his boss.
- C. When the responsible supervisor is not available and to refrain from issuing the order would seriously endanger life or property.
- D. When the employee asks the administrator for his approval of a radical change which is contrary to the instructions previously issued by the responsible supervisor.
- E. When the order would produce a slight improvement.

39. One of the primary reasons many personnel cases develop to the critical stage is because

- A. The responsible people in supervisory positions refuse to face the issue early.
- B. Most employees are potential problem cases anyway.
- C. Supervisors don't have time to handle them in the early stages.
- D. Management feels that the organization would be incomplete without a Relations Office and that office must have some material to work on.
- E. Most employees don't want to get along with their bosses.

40. Personnel "problem" cases develop in every organization of any size; much more frequently in some than in others. In dealing with these individual situations which one of the following considerations should be of most concern to the responsible administrator?

- A. That every effort is made to remove the violator.
- B. That all resultant reprimands are phrased so as to encourage the employee under investigation to quit.
- C. To insure that the true basic causes are revealed and preventive action to avoid recurrence is always taken.
- D. To make certain that all investigations are handled by a staff unit set up for that purpose and are not participated in by line officers.
- E. That the investigation reports are prepared in uniform style.





41. Experienced administrators agree that only one of the following statements is true. The others are false. Which one, in your judgment, is true?

- A. The penalty to impose for each violation should always be determined by the literal application of the provisions of a standard penalty chart.
- B. Only those violators whose improper acts produce detrimental consequences should be penalized.
- C. Violators who suffer injury or other detrimental effects as a result of improper acts should normally receive a less severe official penalty than those who "successfully" commit similar violations.
- D. The efficient supervisor always lets his subordinates get away with violations a few times before taking any form of corrective action, for it is seldom that violations are repeated.
- E. Violations and infractions committed by employees are frequently identical in all respects.

42. Which one of the following is the most accurate statement?

- A. It is invariably the fault of subordinates when a supervisor frequently has trouble with "problem" employees in his unit.
- B. The supervisor's "mode of operation," the way he supervises, is influenced most by his day-to-day association with his superior.
- C. Nothing can be done to help a poor supervisor do a better job.
- D. Any employee can become a highly competent supervisor merely by copying the practices of any "top management" official.
- E. Most all administrators are well trained in advance for their jobs.

43. The function of supervision is present at every administrative level. More time is required in direct supervision at some levels than in others. Which one of the following statements best describes the actual situation in this respect, in most every large organization?

- A. The head of the organization is required to spend the least time on direct supervision and first line supervisors have to spend the most time supervising.
- B. The amount of time any manager should spend on direct supervision is solely dependent upon his individual viewpoints.
- C. High level administrators need no direct supervision.
- D. Subordinates need to be furnished direct supervision only when they present problems to their supervisor.
- E. The amount of direct supervision required is always determined by the kind of work being done.

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44. Which of the following is the most accurate basis for determining which people in an organization need training in their present jobs?

- A. By having detailed questionnaires completed by all supervisors?
- B. By getting the views of co-workers.
- C. By having accomplishment records sent to a central office for review by a corps of analysts.
- D. By thorough and competent inspection of going operations.
- E. By having detailed questionnaires completed by all employees.

45. Which one of the following management practices do you consider to be the most undesirable?

- A. Supervisors never stand in the way of subordinates in efforts to advance but don't do much to help them.
- B. Subordinates deserving promotions are given promotions only when they are offered better jobs elsewhere and they would be lost if other offers were not matched.
- C. Vacancies are publicized within the organization even though it is very unlikely that any members of the organization will be interested.
- D. An individual career plan for each employee is developed and utilized.
- E. Supervisors take an active part in helping subordinates get deserved promotion.

46. An organizational unit is headed by a fully competent and thoroughly experienced first line supervisor who has been in his present job for several years. This supervisor has suggested the revision of an operating practice in his unit and has developed a detailed plan for the new method which he proposes. His suggestion has been approved by appropriate authority. Which one of the following is it usually best to employ in training the members in the new operating practice?

- A. Have the supervisor train the members of his unit.
- B. Have a top management official handle the training.
- C. Have one of the Training Officers in the organization conduct the training.
- D. Have the training done by a comparable level supervisor from another unit.
- E. Bring in an outside expert.

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47. A highly competent administrator of a sizeable unit in a Federal agency is planning to transfer to a better job in another agency. His subordinate staff members are very happy working under his direction and are anxious to do something to get him to stay. Several subordinates write individual confidential letters to the Relations Staff Office expressing their concern and the view that it would be in the decided interest of the organization to attempt to retain this administrator by offering him a higher level administrative position. Which of the following is the most improper action for the Relations Office, and higher administrative officers to take?

- A. Take no action.
- B. Discuss the situation with the administrator who contemplates departure and fully inform his interested subordinates of this action.
- C. The Relations Office to turn the letter over to higher administrative officers and those officials severely penalize the subordinates who wrote the letters.
- D. The Relations Office to acknowledge the letters, commending the writers, and initiating action to urge serious consideration by higher administrative officials.
- E. Follow the suggestions made by these subordinates.

48. An "outsider" has been selected for a fairly high level administrative position because it was generally agreed that a satisfactory replacement was not available from within. Several hundred employees occupy positions in levels subordinate to the "new" administrator. Under such a condition it is best for the immediate superior of the newly appointed administrator to

- A. Say nothing to his other subordinates.
- B. Tell his subordinates that he would have preferred to promote one of them but his boss over-ruled him.
- C. Announce the new appointment in the monthly bulletin.
- D. Tell the new administrator that he should assume the responsibility for explaining to his subordinates why he got the job instead of them.
- E. Explain to all subordinate administrators the reasons for the appointment.

to the suggestion



49. The most competent administrator is the one who
- A. Spends most of his time "putting out fires" - handling individual cases as they arise.
  - B. Spends most of his time anticipating developments and taking positive preventive measures to avoid the development of problem situations.
  - C. Requires his subordinates to clear most everything with him beforehand.
  - D. Almost always injects himself into every operation and comes up with most all of the decisions on his own.
  - E. Is vitally concerned with all details.
50. Which one of the following conditions is considered to be most important by the average competent employee?
- A. Modern office space.
  - B. Being assigned working facilities that are better than those provided for co-workers.
  - C. Being granted an extra three days vacation time each year.
  - D. Receiving a "Certificate of Achievement" after he's worked for the outfit for five years.
  - E. A fair and otherwise competent boss.

1. The first of these is the fact that the system is not in equilibrium with the environment. This is because the system is not in contact with a heat reservoir at a fixed temperature. Instead, it is in contact with a heat reservoir that is at a temperature that is changing with time. This means that the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
2. The second of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
3. The third of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
4. The fourth of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
5. The fifth of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
6. The sixth of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
7. The seventh of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
8. The eighth of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
9. The ninth of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.
10. The tenth of these is the fact that the system is not in contact with a heat reservoir at a fixed temperature. This is because the system is not in contact with a heat reservoir at a fixed temperature, and therefore it is not in equilibrium with the environment.





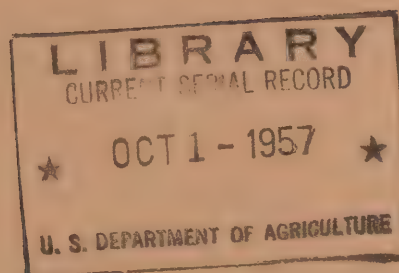




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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION



CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 2  
MANAGEMENT TERMS - WHAT THEY MEAN

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WASHINGTON, D. C.  
1957





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UNITED STATES DEPARTMENT OF AGRICULTURE  
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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 2

MANAGEMENT TERMS - WHAT THEY MEAN

Our discussion in this section is not intended to be a list of concise definitions. It will not conform to dictionary style. It seems to us that much more detailed comments are justified for we believe that this material will be more helpful if it is presented in that way. We might consider that which follows to represent explanations of various management terms and phrases which will be encountered and which you will have occasion to use with great frequency.

Of course, there was a very definite reason for placing this section at a point early in the course. And we think that reason was a very good one. It's the same old question of communications. Something which needs to be foremost in our minds all of the time we are engaged on this cooperative project. And that same basic essential, effective communications, may never be disregarded by any successful manager at any time in the course of carrying out his official duties.

However, before we get into the discussion of specific management terms, we need to take a look at the situation that actually exists, try to figure out some of the causes and, after that is done, see what we can do to improve the situation.





### THE PRESENT SITUATION

Up until this time it is probably pretty obvious to all of us that in the field of management there does not exist what might be known as a "common language." It is hardly conceivable, or even reasonable to expect, that all managers, as well as other employees, in every organization will ever use identical terms and expressions having identical meanings. But it does appear reasonable to expect, and mighty important too, that the terms and expressions which are in general usage should express meanings which are at least clear and reasonably uniform as well.

When there is no reasonable assurance that there will be an acceptable degree of uniformity in what is said, and what is written, we may be certain that there will be misunderstandings. We may be certain too, that there will be, that there actually is, a state of confusion existing right now. The problem is made even worse by reason of the fact that policies and practices which must be applied in many organizations are developed and are prescribed by individuals who are not very familiar, sometimes totally unfamiliar, with the operations which those mandates will effect.

For example, the operations of all public agencies and probably all private enterprises, are influenced to some degree by mandates which originate in Government organizations. These rules, regulations, and other requirements may be issued by the Federal Government, the State, the county or any other political subdivision under public administration. Many of these issuances have wide application. It is necessary then that they be couched in generalized language. And because of the "centralized" character of the authority in which they





originate those to whom these directives apply seldom have much opportunity to obtain detailed explanations of just what is meant. The instructions have to be interpreted to the best ability of the individual. And many of these instructions, because they are necessarily so general in character, must be adapted to suit the local situation. We are not saying that those who develop this material do not do the best they can. Most of them do. However, in spite of the sincere efforts of those who issue and those who receive, a great deal of misunderstanding does result. And those misunderstandings will and do frequently produce situations which are costly and otherwise most unfortunate.

There are numerous other conditions which, considered collectively, make up the total problem. The accepted meanings of certain management terms frequently become restrictive, provincial and localized. They may serve their purposes acceptably within the immediate organization, but the locally accepted meaning may be in substantial conflict with generally accepted interpretations. When this is the case, it is very evident that difficulties arise when inter-organizational communication is required. Those individuals who are responsible for interpreting communications which originate outside their respective organizations often find it very difficult to understand just what is meant. And if they do not understand, if communications are not clear, there is never positive assurance that the action taken is appropriate.

At the same time that we consider the importance of creating conditions whereby relatively uniform interpretation will be assured, we need to recognize, as well, that under some conditions highly specialized terms and expressions are entirely suitable for certain restricted



situations. This would seem to be especially appropriate with respect to descriptive job titles. Actually, this is probably a desirable practice. And it should not create any particular problems particularly because it is reasonable to assume that the people needing to be familiar with these terms will usually be closely associated with the operations in which such titles are in general usage.

But there does appear, without any question, to be an urgent need for the development of a condition which will insure relatively uniform interpretation of the management terms and expressions which are in use generally. As a matter of fact, many administrative problems and difficulties exist today because someone failed to understand what someone else intended to convey, and because in some organizations the accepted language imparts meanings which are totally incorrect.

#### PRACTICES AND CONDITIONS WHICH CAUSE LACK OF UNIFORMITY

As is so often the case, there is not just one reason behind this problem. The reasons are many. Some of them may be partially justified, while others may be attributed only to downright laxity which is, of itself, an administrative practice falling below an acceptable level. Some of these conditions may be corrected with but little difficulty. Others will necessitate radical revision in operating practice and this may be brought about only through continuous effort extended over a considerable period of time. In any event, the basic causes of this situation are readily identified. The first step is, of course, to identify these basic causes. And the next step is to decide upon appropriate remedies, and the third is to administer, to apply, to put into effect the remedial action. This is the way to go about solving any management problem. But much more about that much later. Here are some of the real causes of this situation





as we see them.

First, there seems to be a decided tendency to be careless in talking and writing about management affairs. This carelessness may be due to the absence of appreciation for the need for accuracy. Or it may be entirely possible that the individual says the wrong things or gives clear evidence of inaccuracy in his statements because of his lack of knowledge of the subject. Because he is not aware of what is right and proper and what is not. Or possibly this sort of carelessness is allowed to exist because the people responsible do not maintain the degree of control that they should. They may know better but for any number of reasons, either real or imagined, fail to bring about the required adherence to a requirement which they would, if they were able managers, recognize as a basic need.

There are a number of other conditions which are easily recognized as being the results of loose management. Job titles are often assigned with little or no apparent regard for the character of the work involved or for the scope of duties of the job. These titles are not truly descriptive of the work to be done or of the level of responsibility or of the authority inherent in the position. The inclusion of the words "supervisory" or "supervising" in the position title is a typical example. The title of "area supervisor" clearly conveys the impression that the incumbent supervises line officials at subordinate levels. Often the area job involves only staff functions with no line relationship to operations outside of that unit. The consequences which may and do result from this sort of thing are clearly evident. At times, the title may accurately describe an operation which is totally unrelated to the one it is supposed to fit. And it may connote much more or much less authority than is





inherent in the position. The title of "Administrative Officer" is one of the best examples we can think of. There are numerous other similar situations with which we are all familiar. Many of them will appear later when we are considering certain specific administrative practices.

Second, there is the frequent attempt to "simplify" the over-all problem of management terminology. Sometimes these perhaps well intentioned efforts are designed to bring about a reduction in the number of position titles. As a result of this action the reduction in number of position titles requires that each take on an expanded, or broader, more all-inclusive meaning. There seldom appears to be much justification for any such effort as this and it not only is costly but the results usually have a deterring influence upon the whole management operation. The results often are just the opposite of those intended, resulting in still greater confusion and less accuracy than before.

Third, a firm condition is often created through repetition, resulting in general acceptance by those in close association with the practice. This type of situation may be brought about by the energetic high level official who, by implication or some other similar means, sets the pattern which is accepted by his people. Action of this character is frequently prompted by the strong tendency of so many to convince themselves that their individual segments of the organization are different from all others. It doesn't seem to matter that their action is in conflict with the practice which is generally accepted. And regardless of how inappropriate the whole thing may be, it becomes an actuality primarily because that is the way the boss wants it. Any questioning as to validity is usually met with a great deal of resistance and, not infrequently, with considerable resentment. This situation supports the fundamental concept,



which will be brought out in detail later on, that there is no greater influence upon the individual subordinate than the example set by his boss. It supports another fundamental concept, which will also be elaborated upon later, that the training of the individual employee may, and does, produce results which are undesirable as well as those which are beneficial.

Fourth, members of the managerial force may not require uniformity and accuracy, a reasonable degree of standardization, in the course of routine day-to-day operations. When this condition exists most anything can happen and usually does. Control will be lacking in not only this respect, but often in many others. More than likely it will be found that appropriate and adequate operating policies have not been established and that playing by ear, meeting every situation as it arises, is the rule rather than the exception. Expediency is usually the order of the day and the whims and moods of the individual dictate the action that will be taken at that moment. Under such a condition it takes little imagination to recognize that what was standard procedure today may be a prohibited practice tomorrow.

Fifth, there is a tendency for some individuals in the management field to object to certain terms and expressions simply because they just don't like them. Their objections may or may not be valid and often they are not. The words "subordinate," "superior," "boss," are some of the ones that they object to. Their reasons are sometimes easily recognized. They object to the word "boss" because they still associate that title with the individual who, in the old days, was the dictator type and often pretty ruthless in his dealings with his people. They object to the words "superior" and "subordinate" because to them they connote superiority and inferiority in all respects. This objection is a result of extending,





improperly, the significance of these terms beyond organizational limits. They seem to fail to understand that the terms denote organizational relationship only. And the mere fact that the title of boss occupied a position of ill-repute in the old days does not justify the persistence of the stigma after the almost complete elimination of the practices which created it. However, because of these strong personal objections, often by people in positions of authority, it becomes necessary to attempt to find suitable substitutes. Not infrequently this is virtually impossible. And in attempting to meet the requirement of the objectionist the expressions which are actually used, and of necessity accepted, are often improper. The net result is that the condition which needs solving is not only perpetuated but is aggravated instead.

Sixth, there is the tendency to abbreviate management terms in the expressed interest of simplicity or for the purpose of trying to save a little time. This is resorted to mostly in the larger organizations where the several functional segments, and administrative levels, such as departments, divisions, sections, and the like are identified by descriptive names. The audit section, the voucher unit, the procurement division, and the personnel office are typical examples. It sometimes becomes a regular practice of the members of the organization to refer to these units by abbreviating the full names. These abbreviations when literally interpreted often express meanings totally unrelated to that which is intended.

For example, an administrator may instruct one of his people to obtain the reaction of personnel to a particular matter. The administrator may be requesting that the reactions of his people be obtained. The subordinate may understand that he is supposed to refer the matter to the personnel office. Or a notation to the effect that a document is to





go "to records" may be interpreted that the document is to be placed in the records of that office or it may be understood to mean that the document is to be referred to the records unit. The department store clerk may say that he is "in ladies shoes." Literal interpretation might well prove uncomfortable for him as well as others.

The members of the organization in which this practice is followed are inclined to apply the intended restricted meaning to such abbreviated terms. Naturally, the problems which result may be relatively few. But real difficulty arises when this same practice is followed, and there is always a strong tendency to do it, in connection with inter-departmental and inter-organizational communication. The situation in the Federal Government is a classical example. And a great deal of misunderstanding does occur when one department adheres to its jargon in dealing with another department. The circumstances which are most unfortunate are those resulting from communications which originate in a central staff agency which has dealings with all departments of the Government. The Civil Service Commission, the General Services Administration, and the others with similar over-all staff functions are the ones which need to exercise extreme care in the process of communicating with other Federal agencies.

#### SOME OF THE RESULTS OF THIS CONFUSION

The absence of a common management language, and the failure to take aggressive action to effect the improvements so badly needed, serve as serious impairments to communications in this field. We mentioned before, and we will probably repeat again and again, that the acceptability of the results of any effort is largely dependent upon the



effectiveness with which the people involved communicate with each other. The resultant consequences of this condition are often costly and serious. Without doubt, the most serious result is the retarding influence upon efforts to bring about improvement in the quality of management generally. It is our firm belief that the first and most important step in improving the quality of administration in any organization is the development of a clear understanding of the true management function, particularly on the part of those who occupy managerial positions. Complete familiarity with the basic management language will do much to bring about the desired result. It might be possible to accomplish many worthwhile results in the absence of such familiarity but that possibility is subject to serious question. A few typical examples of the deterrent effects may be of some help in placing the problem in its proper perspective.

While there may be a great deal of reluctance to admit it, it is an actual fact that the most elementary of management terms are subject to extreme variation in interpretation. Take for example the term management itself. In some organizations management is interpreted to include only certain housekeeping or service functions such as personnel services, procurement of property, financial record keeping, and other similar staff operations.

Administration is often considered as a function which is performed only by those "high-level" officials occupying positions with official titles which include the word "administrator."

The terms "supervisory," "supervisor," "supervision" are made a part of the titles of positions whose occupants are inspectors or others who have no authority over other employees and who have no final





responsibility for the official acts of others.

The term "executive" is one that is really overworked. And it seldom means exactly the same thing to any two people. It may be applied to the individual heading up a small work group if, from a relative standpoint, he is a big enough wheel in the community. Or it may be used to describe the official who occupies the top administrative position in a very large organization. And sometimes we gain the impression that it is used deliberately in an attempt at ego-building.

The term "employee" is used, very extensively, in a comparative sense. Administrators and employees, management and employees, supervisors and employees are expressions which all of us hear in daily discussions and which we read with considerable frequency in many publications. At one time the employee who is a supervisor will be referred to as a supervisor but just a little later the same individual will mention the same person along with the officers who rank him and then the supervisor becomes an employee. Probably we would all agree that these expressions are about as proper as saying potatoes and vegetables, gold and precious minerals, or books and publications.

A great many of us might entertain the view that the conditions we have just mentioned are of little importance. That is probably true if we consider them individually, or if they were much less prevalent than they actually are. Considered collectively, however, and considering their superabundance, they represent a general condition which needs to cause a lot of us a lot of concern. Their presence effectively supports the entertainment of serious question as to the degree of familiarity with the science of administration of those who engage in such practices.





### A COMMON LANGUAGE IS ESSENTIAL

Is it not readily apparent, at this point, that we who are in the management business need a common language which is understood, accepted, and adhered to? How can we communicate with any degree of effectiveness without it? If we cannot understand each other when discussing the field of management, how can we expect to avoid misunderstanding and confusion when we are attempting to carry out our official duties in the role of manager? Good policies and instructions and procedures will have little effect if those to whom they are directed do not understand them. Any appreciable degree of optimism with respect to the results of efforts to bring about improvement in management is without justification if our views cannot be exchanged freely and clearly and without reasonable assurance that there will be proper understanding in both directions.

Why is the degree of standardization we are talking about fully justified and badly needed? For the same reason that it is an elementary and fundamental requirement in any science. It is part of the basic knowledge that is required, about which we talk so much. It is the first step toward the creation of familiarity with the subject, the initial foundation which must be provided to support the refinements and the elaborations which follow.

### WHAT MUST BE DONE TO BRING ABOUT THE REQUIRED IMPROVEMENT

There appears to be little question that the people in managerial positions must be able to communicate effectively if they are to perform with efficiency. This is true with respect to managers at all levels. Certainly, we cannot expect those in subordinate levels to resolve this



problem successfully if their superiors in their routine operations, do not evidence complete familiarity. It is one of the basic responsibilities of top level managers to understand the language of their profession and it is their further responsibility to see to it that their subordinate managers are similarly qualified. There are many things that a manager, or anyone aspiring to become a manager, may do to acquire the requisite knowledge and to create similar competence among those he directs. This requirement represents an integral responsibility of every official serving in an administrative capacity. The methods of accomplishing this, the things that must be done to bring about the necessary improvement, are numerous in number. Several of these requirements are mentioned in the following.

First, the individual needs to acquire the necessary basic knowledge to the extent that such knowledge is not now present. The conventional methods of learning are as appropriate here as they are in all other fields of endeavor. Appropriate references, depicting the experiences and viewpoints of others need to be thoroughly studied. There is much to be gained from the exchange of information and ideas with others, both inside and outside the organization, with similar interests and responsibilities. There is much to be gained through observation and study of conditions and practices in other organizations. Perhaps most basic of all, however, is recognition and acceptance of the problem by the individual and the further recognition that there is no shortcut in this phase, as is true of all of the others.

Second, the basic language needs to be prescribed for the guidance of all members of the subordinate organization who are expected to conform. It is presumed that at least general standards of management will be





established at the highest administrative level and communicated to those below. This "glossary of terms" could well serve as the basic preface of the statement of policy which prescribes the standards for all management operations within the total unit.

Third, the problem must receive the attention and effort necessary to bring about the desired result. Naturally, this responsibility should be administered in precisely the same manner as the other operations for which the individual is held accountable. The degree of attention it will require will depend, of course, upon such factors as size of the organization, complexity of the organization, the existing proficiency level of the management staff and the like. As is true of any other operation, the effectiveness of the results attained will be determined, very largely, upon the extent of control maintained in the course of day-to-day operations. If the effort consists only of preparing and issuing an instruction or directive and then promptly proceeding to pay little attention to the acceptability with which the policy is adhered to the results would not be difficult to predict. This operation, or any other one, for that matter, will not be administered efficiently if there is not adequate control, adequate follow up, to determine if the instructions are understood, are accepted, are appropriate, and are complied with.

Fourth, official titles for all positions must be selected with appropriate care. Positions which are not virtually identical, or are not sufficiently similar in all major respects, should not be grouped under one general title in the belief that the occupants of the positions and their working associates, will interpret their significance uniformly in the manner intended. Titles need to be appropriately descriptive and should not only reflect the kind of work inherent in the position but should give





proper indication of the levels of responsibility and of authority that are present in it. Title prefixes and suffixes which signify responsibility or authority not vested in the incumbent, such as supervising grader, regional administrative director, area manager, and the like must be avoided when these people do not have the authority and the responsibility depicted by such position titles.

Fifth, terms, expressions, and titles which have local application only should not be adopted unless, of course, the condition relates only to the immediate organization and their usage does not extend beyond organizational limits.

Sixth, through education, insistence upon official acceptance, and other similar means, overcome individual objection to certain terms and expressions which are otherwise appropriate, are generally accepted, and are in agreement with general practice. We refer, of course, to the objection, by some, to terms such as boss, subordinate, and superior.

It seems quite evident that we need to be constantly aware of the fact that there are some individuals, and some will be members of the upper administrative levels, who will consider it to be unnecessary to devote a great deal of attention to this problem. It seems probable that with but few exceptions this viewpoint will be present primarily by reason of the absence of the possession of such elementary knowledge on the part of those individuals. They will be reluctant to admit this deficiency. In those cases, again with but negligible exception, the mere evidencing of this reaction will, of itself, rather conclusively point out the existence of need. And, not infrequently, where such a fundamental proficiency is absent there exists also the very strong likelihood that numerous other inadequacies are also present.



### DEFINITIONS OF TERMS MOST FREQUENTLY USED

In the caption we have used the word, "definition." Perhaps that was unwise for it may be interpreted to mean that our comments about each term or expression will be brief and abbreviated, in dictionary style. This practice will not be followed. Instead, we will discuss each term or expression in sufficient detail in an attempt to explain the meaning clearly. In an attempt to communicate effectively. The amount of discussion of each one will depend, quite largely, upon the need for clarification as we see it. In some instances most of us will agree that general interpretation is rather uniformly similar and accurate. While in others there exists a substantial divergence of opinion. It is the latter circumstance which we need to be most concerned about.

The terms discussed here are those which are used with considerable frequency in this material. And they are the same terms which appear with considerable frequency in other management publications. There may be some differences of opinion with respect to these explanations. This fact is, however, of not extreme importance. The important thing is to attempt to eliminate any possibility of misinterpretation as to what is said or what is written. That is our objective. To establish a basic understanding so that our communications originating with you and with us are truly effective. We believe that the discussion which follows will help materially in meeting that objective.

Management: this term has been defined many times. And each definition, whether it contains few or many words, is intended to convey the same thought. Actually, the term has two distinct meanings. One has to do with the action, the doing of something, and the other refers to





that group of people in the organization who are responsible for performing that action.

Let us consider the action phase first. Management is the function, the job, of looking after, of overseeing, the operations of an organizational unit. The organizational unit may be the total organizational entity or it may be any segment of it. The organizational unit may be the total industrial enterprise, a group of operations conducted in a specific geographical area, a department, a division, a section, a branch, or a work unit. For purposes of analysis and discussion the management function is usually divided into the three sub-functions of direction, coordination, and control. While we will discuss this three-way breakdown in some detail later on, it might be well to mention right here that in the performance of the management function it is impossible to segregate completely each of these three sub-functions. That is, it is not possible to perform the directing job without doing some coordinating and some controlling. In the coordination process some direction and some control are accomplished. And in the control process, often through some form of inspection, considerable direction and considerable coordination take place.

Perhaps we should briefly comment on the meaning of these three terms. Direction is accomplished through instruction. It includes the development and issuance of policies, procedures, rules, regulations, and the prescription of practice. Direction may be performed through a variety of communicating media. Orally, in writing, and by demonstration are the most common methods.

Coordination consists of bringing about the required degree of integration, of synchronization, of those operations which are to some





degree interrelated or interdependent. This is accomplished by means of the same media of communication. Coordination has as its basic objective the bringing about of accomplishment in the manner and at the proper time and place in order to produce the end result in an efficient manner. It involves the making certain that every party to the cooperative operation knows and understands the extent of his responsibility and authority and the relationships, with respect to responsibility and authority, of all who are involved in the undertaking.

The control element involves the necessary checking and follow up to see if what was prescribed to be done is being done as it should be done. As we mentioned earlier, a great deal of control is accomplished in the processes of direction and coordination. Briefly, control consists of the comparison of the actual situation with that which had been prescribed, followed by the action determined to be necessary or desirable to bring things into line. The remedial and corrective measures resulting from the initial phase of the control operation are then accomplished by the application of the other two phases, direction and coordination.

Management is never complete unless all three of these major functions are carried out. If, for any reason, it is necessary to sacrifice anywhere along the line, it is the least costly to sacrifice in the direction phase and the most costly to sacrifice in the control phase. There have been innumerable examples of reasonably efficient management where the direction phase was relatively weak but the control operation was performed effectively. The consequences resulting from weak control should be pretty evident. When primary attention is directed toward the direction area, and but negligible consideration is given to the control operation, a



number of things are being assumed and such assumptions are never justified. We must conclude that, in the absence of effective control, the management responsible is assuming that prescribed policies and practices are appropriate, that the policies and practices prescribed are understood and accepted by those responsible for carrying them out, that the people responsible for execution are capable of carrying out those policies and practices and finally that those people will meet the requirements of these prescriptions efficiently. These are things which may never be presumed. It is always necessary to go look, to find out. For these reasons, no organization can afford to permit its management to be weak in its control operation.

In some organizations there seems to persist the belief that the management function entails those operations relating to what is usually referred to as personnel management, and the affairs which relate to finances, property, space, procurement of things, and possibly a few more housekeeping or service jobs. Management includes these things but taken collectively they represent but a comparatively minor part of the total management function. These are some of the things that need to be accomplished. But there are so many other things involved in management that detailed consideration of these special areas has no place in our consideration of the over-all management operation.

The function of management is carried out through a subordinate force of people. This is something we need to keep in mind, all of the time.

The other use of the term "management" is when it denotes collectively, all of the people in the organization who are responsible for performing the management function. We will have no difficulty in recognizing that this includes the highest level administrative official and





all of the others in subordinate capacities who are responsible for subordinate forces. The management group includes all of the managers. All of the people who are responsible for seeing to it that the management function is carried out in the one or more operating levels beneath them. Now, let us consider who the manager is and what he does.

Manager: It seems to be quite evident that this is any individual employee who is responsible for managing all of the operations of the organization or certain designated segments of those operations. The terms most frequently used in place of the more general term of manager include administrator, executive, administrative official, officer in charge, and others of a similar nature. In some organizations, specifically the more progressive ones, the first line supervisor is looked upon as a manager. As we use the term it will refer to supervisors as well as those in more responsible managerial positions.

At what locations in the organizational structure do we find the managers? The highest level administrative official, of course. And those employees in charge of departments, divisions, sections, branches, and other work units. Also, those in charge of operations in certain geographical subdivisions such as area administrators, regional directors, and the like.

The manager is not a personal "doer" in the usual sense. He is a "Get-things-done-er." He is a doer only in the sense that he gets others to do. When the manager personally performs individual tasks or operations, other than for the purpose of demonstrating to a subordinate, or for the purpose of executing some other feature of his management function, he is no longer managing. The manager's job includes the major functions of planning the operations of his unit, staffing his unit, organizing,





directing, coordinating, and controlling. Again, he does not do all of these things personally but he is responsible for seeing to it that they are done.

The manager performs his job by assigning responsibility and authority to the members of his subordinate staff. This is the place where most people in managerial positions seem to have the greatest difficulty. Such difficulty seems to arise principally because the manager fails to realize that the only way he can accomplish his mission is through the efforts of those who look to him for leadership. He seems to have difficulty in realizing that it is his job to get others to do things. It is when this fundamental concept is lost sight of that problems, real problems, are certain to develop.

The manager's subordinate staff may consist solely of non-managers, or entirely of managers, or be a mixture of both. But in any event each manager has some direct supervision to perform, because there are always some people, some employees, who are directly responsible to him. The volume of direct supervision at all administrative levels is not uniform. Normally, the manager responsible for operations carried at the bottom level of the organization spends a considerable part of his time, probably most of his time, on direct supervision of his subordinates. At the next higher level the individual in charge devotes a little less time to direct supervision and more to the other administrative functions. The volume of direct supervision continues to lessen as we ascend in the organizational structure. When the very top is reached we find there that the chief administrative officer devotes a comparatively negligible part of his time to direct supervision while a considerable portion of his effort is concerned with organizing, staffing, planning of the work, the developing of over-all standards, coordinating, and controlling. While the amount

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of direct supervision furnished by the highest level administrative official is but negligible as compared to that of the first line supervisor, the quality of supervision of the top administrator is of extreme importance. This is true for the reason that the quality of supervision at the highest level sets the supervisory pattern for all administrative levels below.

The Executive: frankly this relative term is one which we have great difficulty in interpreting. We know what the intended meaning usually is, that is, sometimes we know. But the opportunity for misinterpretation is so great that we would be very pleased to see it thrown into discard.

We do know the term is usually intended to refer to an official with responsibilities which are administrative, managerial, and supervisory in nature. But the unfortunate feature is that under one set of circumstances the individual may be properly referred to as an executive and under other circumstances the same individual would be promptly classed as being a rather supercilious character if he insisted on being called an executive. For example, the head of an organizational unit of say 20 or 30 people might be classed as an executive by some of his subordinates. If this same individual was engaged in substantially the same level of work in a much larger organization, it is very doubtful that executive status would be conferred upon him by his working associates.

There is probably another rather important reason too, why this exalted title is both over-used and misused. For some reason a certain class of people seem to entertain the opinion that a high-sounding title will, of itself, cause them to be looked upon as important folks. Certainly, it takes a lot more than a title to install stature in the person. One





eminent philosopher once said, or at least one of them should have said, that the really big wheels never act that way but the little ones often do.

Administration: for all practical purposes the fields of administration and of management are synonymous. The functions involved in the field of administration are the same as those in the field of management. The two terms will be used interchangeably in our considerations.

Of course, we all realize that the phrase "this administration" is often used in its very broadest sense. Frequently, it is used in a comparative way in that it serves to differentiate, often by inference, the situation currently existing in relation to the one that prevailed under predecessor leadership. We know, also, that one of the most common usages relates to the political party in power. We assure you that the term, as we use it throughout this discussion, is in no instance intended to refer to a political party.

Administrator: This is the title applied to any official who is in charge of or administers or directs an operation that is carried out through the efforts of a subordinate force. This term too, has some relative aspects. It is often difficult to draw a precise line above which the term is entirely appropriate and below which it would be subject to question. It is not unusual for this title to be applied to the occupants of those positions above the first line supervisor level.

Administrative: This term is usually used to describe the job, the operation, the function, or the responsibility which includes the management activities of the administrator or the manager. Often it will appear as the descriptive prefix to the word "official" or "officer." Any manager or administrator is an administrative officer or an administrative official.





There seems to be quite a bit of variation in viewpoint as to just what is meant by administrative work. The confusion over this is so great and of such long standing that unfortunate consequences have been rather commonplace. For example, in some public agencies the title of administrative officer is applied to those positions involving "housekeeping activities," and other similar service functions. This carelessness in title selection has caused many people to develop the conviction that these operations and these alone constitute the administrative function.

As another example, we hear those people performing largely clerical duties in connection with finances, "personnel," property, records, and the like referred to as the administrative group and the operations they are concerned with as administrative work. These viewpoints can prove to be most troublesome in that they serve to break down communications rather completely. Just as an illustration, a staff agency in the Federal Government is authorized to prescribe certain qualifications requirements relating to the movement of employees from one kind of work to another. Specifically, one of the requirements for reassignment relates to the extent of administrative experience the employee must possess before he is considered qualified for certain types of positions. Naturally, the instructions that are issued must include reference to administrative work. We are familiar with numerous instances in which the people responsible for the interpretation of those instructions construed the term "administrative work" to refer to the operations involved in a limited number of service specialties which we have mentioned earlier.

With such an inaccurate interpretation it is readily possible to recognize the degree of impropriety that is certain to prevail in the



application of such instructions. It seems that this represents an excellent example of the results that are certain when all parties engaged in any phase of management are insufficiently conversant with basic terminology. We might mention too, that this same lack of understanding has been observed to be present at the higher administrative levels. Naturally, the seriousness of the inevitable errors at this level is by no means trivial. We are familiar with a number of such situations which have served to disrupt, to a serious extent, the career status of a number of individuals. Certainly, there is no justification for the further condoning of such a condition, particularly when it produces effects of such serious proportions.

Supervisor: This is the title which is used to denote the official relationship of an individual employee to one or more other employees for whose official acts the supervisor is responsible. The supervisor's primary job is, of course, to carry out the supervisory function. To provide the necessary leadership for those who work under his direction. Naturally, the supervisor has to do some planning, some organizing, some coordinating and some controlling. But the greater part of his job is that of direction. The assigning of jobs, the laying out of work, the training of his people to do their assigned jobs, and the comparatively close observation of the work in progress.

We speak of the "first line" supervisor. So far as we know, without exception, this has reference to the first supervisory level that is reached as we ascend from the bottom of the organizational structure. There may be exceptions to this but it seems very doubtful. The first line supervisor is much less concerned about, or rather much less responsible for, the development of over-all policy and practice than those in





substantially higher managerial levels whose acts exert a much greater influence upon a broader segment of the organization. But the first line supervisor is more concerned with, and devotes more time to, the direction of his subordinate staff members in the carrying out of day-to-day activities.

Nevertheless, many of the same basic management principles which apply in the upper levels have equal application at the first level of supervision. Here, the complexities inherent in the assignment are considered to be somewhat less and the same is true with respect to responsibility and authority. At the same time, the competent supervisor will utilize his subordinate staff to the same degree as the top level administrator in solving the supervisor's problems, even though they are recognized, generally as being much less complicated.

It might be well, right at this point, to briefly mention one of the basic principles of management. We refer to the one boss, the one supervisor arrangement. Under no circumstances should any individual employee be expected, or permitted, to receive instructions from more than one supervisor. The inevitable disastrous consequences of any other arrangement are so very evident. Nevertheless, this is one of the violations representing the cause of a multitude of problems. Appropriate regard for this basic principle, all of the time, is so essential that it will be elaborated upon to a considerable degree later on.

Boss: the title of "boss" is used most frequently by the individual to refer to his supervisor, to his immediate superior. Of course, it is sometimes used when referring to those who occupy positions at higher jurisdictional levels in the organization. It is not unusual to hear the administrative head of the organization called "the big boss."





Several decades ago the title of boss attained a status of ill-repute. Many supervisors "in the old days" entertained the view, apparently that the only way to get production was through methods which were hard boiled and tough. At times some of their tactics made them appear to be pretty ruthless individuals. Their dictatorial methods of supervising left the definite impression that their word was the law and when they spoke their subordinates better respond promptly or else. Some of these people were very much as they appeared to be. However, many were mighty considerate and fair minded individuals operating inside a rough veneer just because they understood they had to be that way in order to command the respect of their people. As a consequence, the use of the word boss became generally accepted as describing just that sort of person. Fortunately, that stigma has now been erased to some degree, although there are still quite a few people who refuse to consider the term as acceptable. It probably will not be long before the experiences of the past will be forgotten and there will be general acceptance. As a matter of fact, there has been a notable tendency during the past one or two decades for the boss reference by a subordinate to have a meaning very much the opposite of that which existed in the past.

There seems to be no justification for permitting the impact of precedent and former custom to permit this sort of objection to continue indefinitely. Certainly, there should be no reluctance to use the title freely in describing organizational relationships for its literal meaning is the same as that of superior.

Superior: this is the term which is used to identify an employee who is "higher up" in the organization. It denotes an organizational relationship. The "immediate superior" of an employee is that employee



who is organizationally just above his boss or his supervisor.

It is clearly evident that many people avoid the use of this term. Presumably they object to it for the reason that they believe it carries the connotation that the individual so described is actually superior in all respects. And that the other individual is inferior to the superior. Such a viewpoint is, of course, entirely incorrect as the objection has no basis in fact. The reason for this viewpoint seems to be this. It is the result of the improper extension of the significance of the term beyond organizational limits. Its actual purpose is to describe, to make clear, an organizational relationship. There is no justification for extending its significance beyond that point.

The term is entirely proper and should be used freely and correctly. There is no entirely suitable substitute for it and the detrimental effects of attempting to find one will certainly be much greater than those which may result from improper usage.

Subordinate: this one is avoided, objected to, by the same people who refuse to use the term superior. And for the same reasons. But there is no valid justification for objection in either case.

Again, the term subordinate serves to clearly define an organizational relationship. The difficulty which causes objection is occasioned by improperly attaching significance beyond the limits of the organization. The subordinate is actually subordinate only insofar as his official relationship to certain other members of the organization is concerned.

The results of efforts to avoid the use of the term are frequently almost humorous. And they are sometimes quite confusing. The term is entirely proper and should be used freely to describe the true situation. It is very difficult to find a suitable substitute and there is no need for



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*Journal of Management Studies*, 19(1), 67-80.

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trying.

It might be well for us to remember that every employee is the subordinate of someone, every employee has a boss. At least that is true until the very top of the organization is reached. And, actually, in a very real sense, it is true even there.

Employee: this is the individual who works for, is employed by, the organization. It applies to every member of it from the very top to the very bottom.

Unfortunately, there is a strong tendency to use the term in a relative sense. For example, the supervisor and employee, or administrators and employees. The supervisors and administrators are employees just the same as everyone else. The lack of wisdom of this practice is evident when we analyze it. When there is reference to one of the upper level administrators and his employees the latter group, which presumably is intended to identify the subordinate force, includes managers and supervisors as well as those who are not. Then when there is reference to one of these subordinate managers and his employees the same situation exists and it is inferred that in the latter case the manager is no longer an employee, even though he was one in the first instance.

In our opinion there is another very valid reason for objection to this improper practice. It seems to inject, at least by implication, the caste element. And certainly there is no room for that sort of thing in any progressive organization.

Personnel: obviously, this has reference to people, persons, individuals, to the members who make up the organization. Usually it is used in reference to more than one individual such as the personnel of a division or of any other unit of the organization. Of course, the personnel

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of an organizational unit could consist of one person.

It is the standard practice, of course, to refer to the staff unit responsible for certain staffing operations as the personnel office or the ~~personnel department or division~~. We could just as well refer to these as the "people department" or "people division." And perhaps it would be very helpful if we did.

Organization: ~~this is a term which has two very distinct meanings.~~

In the first instance, it refers to the process of arranging facilities or resources, responsibilities, and authorities so as to carry out an operation. In the organization process the various kinds of work to be done are divided, and then are appropriately combined. And the work as well as the responsibility and authority for doing it are assigned to specific employees. The process includes the determination of what operations will be carried on, where they will be conducted, and who will be responsible for their accomplishment. It also includes the assigning of people and other necessary facilities to those to whom execution responsibility has been assigned.

In the second instance, the term organization is used to refer to that group of people, without regard for numbers, operating under one head. The term is applied to an entire industry, a company, an entire governmental body, or to any segment or division or work unit. When used in this way, the term serves to identify the operating entity, or combination of entities, resulting from the organization process.

Hierarchy: ~~this is a term which appears with considerable frequency~~ in most publications dealing with management, organization, or administration. It relates to the organizational structure. Another way to say



it would be that it refers to the framework of the organization. The framework which reflects the manner in which the organization is separated into its various authority and functional levels.

Organizational Structure: for all practical purposes the terms hierarchy and organizational structure may be used interchangeably. As the word structure implies, the term has reference to the framework of the organization which serves to identify the several levels of authority, operational responsibilities, and the relationship existing among the several levels and operating units.

Organizational Unit: this is any part, any segment, of the organization which operates under one administrative head. Often, but not necessarily always, the term is used in relation to one of the smaller segments of the total structure. However, the element of relativity enters here, as is so often the case, and a unit in one instance may be comparatively large and in another comparatively small.

Top Management: an entirely appropriate term when used in a general sense. But one that is entirely inappropriate when used in a relative sense in the absence of a precise definition of what is meant. Presumably, it is intended to include the administrators in the upper levels. But confusion and misunderstanding are certain to occur when the term is used, as a relative one, to attempt to describe categories of jurisdiction which do not always involve the same organizational units. For example, in a Federal organization which is subdivided on a geographical basis the term top management has one meaning when it relates to an area or sectional organization and an entirely different meaning when it refers to the total organization.

It should be avoided except when used in a very general way. To describe the upper administrative levels of any organizational entity





regardless of its size or its numbers of jurisdictional levels. And even then there is the strong possibility of misunderstanding in view of the absence of definiteness with respect to the bottom level of the group that is referred to as the top management.

Middle Management: once more an expression without uniform or precise meaning. And for the same reasons as those described with respect to the top management question. This term should be used even more sparingly than the one which relates to the top levels. In this case vagueness is present to a still greater degree for the reason that it is virtually impossible to bring about general agreement as to where middle management starts and where it stops, as to which is the extreme upper level, and which is the extreme lower level.

Obviously, the term is intended to identify that management group which is located somewhere between the lower supervisory levels and "top management." But it would seem to be something we could get along very well without unless we make certain, each time, to clearly define just what we mean.

Organization Chart: this is the name that is used to refer to a great variety of graphic documents intended to provide information with respect to a particular organization. The chart may reflect information relating to employees, levels of responsibilities, positions, official titles, unit functions, geographical operations, organizational relationships, or any combination of these and other similar elements. Some of them include a great deal of narrative material and others contain virtually none, using symbols to depict the various informational features. It is probably correct to say that in the very broadest sense the term organization chart may be appropriate for anyone of these documents, regardless of how





limited or how extensive in scope it may be.

It is quite obvious, however, that an organization chart has one very basic purpose, one purpose which justifies its existence. And that is to depict graphically one or more situations or conditions relating to an organizational unit. The chart form is appropriate for a number of very definite reasons. In the first place it is one of the most effective ways to present a message which will be clear, concise, complete, and appropriately integrated. At least some of these virtues are absent when the same information is presented in the conventional narrative style. It should be quite clear then, that a document under the name of an organization chart which consists solely of lengthy narrative statements bounded by connected horizontal and vertical straight lines is frequently of rather questionable value.

An organization chart which reflects considerable information in a form that is quickly and easily observed and understood is of real value. The chains of command are clearly established, the units which are staff and those which are line are subject to ready identification. Special delegations of authority are clearly indicated and the informational and advisory contacts which are prescribed and authorized are shown.

An organization chart which is properly developed and portrays fully adequate data is a valuable document. It is something that every manager will find to be almost indispensable. It serves to chart the course of the operations and of the people responsible for carrying out those operations. It leaves no doubt as to the all important factor of relationships of units and of key personnel. In the well managed organization adequately detailed organization charts are developed, are utilized fully by all officials involved and the charts reflect accurately the current mode of operation at all times.



In essence, the organization chart is a statement of policy. A statement of policy designed in such a way that it constitutes a valuable working tool. Like any other statement of policy it must be kept current. And it must be utilized and adhered to. It is doubtful if there has been discovered, at least so far, an equally effective way to clarify jurisdictional relationships, an item about which no doubt should exist at any time. Probably we have all encountered the experience wherein a very attractive organization chart has been designed and then promptly placed in the files, out of sight and, of course, out of mind. That sort of document is of less value than no document at all. And we have had the other experience where the chart was conspicuously displayed but upon questioning were informed that while the chart is almost correct as to how things should operate, they actually operate in an entirely different way. Whenever we find situations such as these we may entertain but little doubt as to the probability of the existence of other basic principle violations.

The line and staff organizations: We hear a great many comments about the line and about the staff. And it is often observed that these comments are replete with inconsistencies. Accordingly we can, in those instances, justifiably conclude that those who are offering the comments are not familiar with the subject or, if they are, the expressed views represent substantial disagreement. This condition is entirely too commonplace and the reasons for its existence are probably rather numerous. But there is no real justification for this condition. Its existence represents a serious indictment of management, as a science and as a function. Wherever there is absent a clear understanding with respect to the functions, responsibilities, and authority of the line and of the staff and where there is not





present full respect for the prerogatives of each there is certain to be present a degree of inefficiency.

Line segments and staff segments are present in virtually everyone of the larger organizations. The functions of the line and the functions of the staff are present in every organization. But in some it has been determined that considerable specialization in certain operations, now identified as staff functions, represents an appropriate course of action and as a result, those functions are removed from the line and performed elsewhere in the organization by specialists. And those removed from the line are thereafter known as staff functions. But the responsibility for carrying out the mission of the organization is not removed from the line in the same manner.

In brief, it is the function of the line to carry out the mission of the organization and it is the function of the staff to facilitate the line in redeeming its responsibilities. When justified by actual conditions the advantages of this form of segregation are great. And the inherent dangers are very substantial. The reasons for these dangers are quite evident. Every individual rather enjoys sharing in the "credit" for accomplishment. When he is deprived of that opportunity, in his opinion, and his scope of activity is limited to helping in the attainment of the goal he very naturally may be inclined to resent the situation in which he finds himself. And it is then when the trouble starts. When the facilitating staff encroaches upon the prerogatives of the line.

But this segregation of functions is with us and it is a very effective arrangement when administered with efficiency. And there is where the manager comes in. With this segregation he has the added job of keeping

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these two elements adequately apart but at the same time adequately integrated. The sooner that this differentiation is fully recognized and the sooner that the manager realizes that it is an important part of his job to keep it that way, the better for all concerned. The recently expressed viewpoints of some management writers tend to confuse the issue still further, but there appears to be no justification, at this time, for the greater refinement of something which even at this stage is far from properly crystalized.

The line and staff elements occupy important status in the organizing process. It is of extreme importance that the functions of each and the relationship of one to the other be fully clarified when the basic structure is developed. But that important step is only part of the job. After that decision has been made the appropriate managers have the further responsibility of seeing that there is full adherence to the agreed upon arrangement.

Typical staff operations are present in those units which are solely concerned with matters relating to personnel, staffing, financial accountability, property and space procurement and the like. With relation to the operations of the total organization, officers in staff units possess the authority of specialization, of ideas, while those in line units, again with respect to the total organization, possess true command authority. Of course, staff unit officials have full line authority with relation to their respective subordinate staffs.

It might be helpful to point out that the line and the staff are complementary elements, each complementing the other and in combination make up the total. However, it might be equally appropriate to point out



that under weak management the views, which are often times expressed, of one with relation to the other are frequently far from complimentary.

The line staff matter is such a very important one that it needs exploring in considerable detail. Also, we need to consider, in similar detail, the inherent complexities which are of vital concern to every manager. And we need to not only identify some of the almost certain problems which are ever threatening but we should give full consideration to the things the manager needs to do to avoid them. This will be dealt with later in greater detail.

#### THE CONDITION THAT CURRENTLY EXISTS IS UNJUSTIFIED

We recognize that this discussion of frequently used management terms and expressions has not been entirely complete. However, we have tried to offer sufficient comment to attempt to bring about a reasonable degree of uniformity in interpretation. If we have been successful to some degree in this effort the time devoted to our consideration of this area will have been well spent.

It would appear that there is but little justification for people in management positions to experience any great degree of difficulty in properly interpreting management literature. In any other science it is a recognition of long standing that a reasonable degree of familiarity with the language of that science is a fundamental requirement. And a definite pattern is followed, initially, to bring about this necessary condition. This requirement is taken for granted and is based on the realization that the more detailed and complex considerations that follow could not possibly be absorbed in absence of this vital prerequisite. We who are concerned with managing need to adopt that same attitude with respect to the science





of first concern to us. Probably the condition which we encounter is largely attributable to the virtual absence of the first of the three phases we discussed in some detail in the introductory material. Our only alternative course of action in attempting to overcome this deficiency seems to be to do the best we can under the circumstances. And that is precisely what we are attempting to do here.

The results we are able to achieve will depend, first of all, upon the ability of the individual to recognize that this deficiency does exist and his further ability to appreciate the importance of overcoming it. He needs to identify the deficiency situation as it applies to him and as it applies to each of his subordinates, and he needs to take whatever positive action that is necessary to provide the education and training required to meet at least the minimum requirements for the job to be done.

We dislike to dwell at too great length on the importance of acquiring an acceptable degree of what we have referred to as the basic management language. But we would like to offer this one last suggestion. In carrying out your responsibilities in connection with this course and in the performance of your day-to-day operations it seems to be imperative that you devote sufficient attention to this problem. It is in this way, by constant awareness and conscious application as well as by repetition, by doing over and over again, that the standard we are looking for will be reached. The standard that you set will rest with you. And the satisfaction that you derive from reaching that standard will be in direct proportion to the level of it.

The work assignment for this section, which relates to the material you have just read, appears on the pages which follow.





UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 2 - MANAGEMENT TERMS - WHAT THEY MEAN

WORK ASSIGNMENT

INSTRUCTIONS

For each of the questions or situations described below enter your comments on the work assignment response sheets provided to you. Use continuation sheets to the extent necessary.

You may restate each question on the response sheet if you care to but this is not necessary.

We prefer that your comments be typewritten. However, if this is not possible we will appreciate it if you make a special effort with respect to the legibility of your longhand.

Be sure that your comments are sufficiently complete to express your views fully. At the same time, a degree of conciseness is desirable.

- A. Draw a chart of your organization or another . . . which you are familiar. Enter working or payroll titles of positions at the several levels. For each of these titles indicate the management term or terms which you consider to be appropriately descriptive. Also, indicate the units which you think are staff and those which you think are line.



- B. List two or three of the main reasons why many of the commonly used management terms are frequently misinterpreted.
- C. Indicate two or three of the things that, in your opinion, each manager needs to do to bring about reasonable uniformity in the interpretation of management terms by his subordinates.
- D. In your opinion should first line supervisors be considered as a part of the management force? Explain why you think as you do.
- E. List at least three management terms or titles which are objected to by some people. Indicate why they object to them and indicate your views as to the justification for their objections.
- F. Indicate three or four virtues of the organization chart which is properly developed and properly utilized. You should include a number of the basic conditions essential to sound management which organization charting will help to establish and maintain.
- G. There are several management terms and expressions whose meanings are so vague that their use should be avoided unless the intended meaning is fully explained each time. Indicate which ones these are and explain why their promiscuous use is undesirable.
- H. Explain in your own words the two basic meanings of the term "organization." When it appears to be a strong probability that an organization is in need of revision, needs to be "reorganized," which members of the organization, in your opinion, should take part in the reorganizing process?





- I. Which group or groups of employees in an organization have no supervisory responsibility or authority? Briefly explain the basic differences, with respect to responsibility and authority, between the employee who is a manager and the employee who is a non-manager.
- J. In your opinion, what is the basic reason for segregating "staff" and "line" operations?





UNITED STATES DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

Personnel Division

CORRESPONDENCE COURSE- MANAGEMENT PRINCIPLES AND PRACTICES

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Response to Work Assignment for Section No. \_\_\_\_\_.

(Number your comments the same way the work assignment questions are numbered. You may repeat the questions below if you care to, but it's not necessary. If you need more space, please use Continuation Sheets.)



CORRESPONDENCE CCURSE - MANAGEMENT PRINCIPLES AND PRACTICES

Work Assignment for Section No. \_\_\_\_\_ Continuation Sheet No. \_\_\_\_\_

Name: \_\_\_\_\_ Date: \_\_\_\_\_





UNITED STATES DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

Personnel Division

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

To:

From:

Subject: Comments About Your Response to Work Assignment No. \_\_\_\_\_





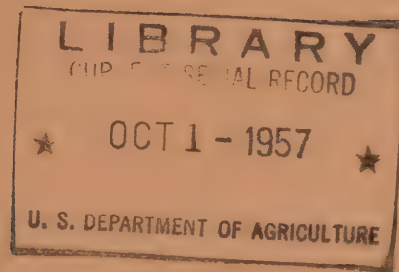




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CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 3  
SOME TYPICAL MANAGEMENT PRACTICES

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WASHINGTON, D. C.  
1957





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MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 3

SOME TYPICAL MANAGEMENT PRACTICES

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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 3

SOME TYPICAL MANAGEMENT PRACTICES

"I don't need any help in this management business but my boss surely needs a lot. The way he operates violates just about every rule in the book."

How many times have you heard this statement made by a supervisor or any other manager at almost any level? How true is this statement? Is it entirely true, only partly true, or completely inaccurate? Why is it that so many people in managerial assignments seem to think that the other fellow, and particularly the boss, doesn't do a very good job of managing? And why is it that almost every manager thinks that he is a good manager?

There probably are a number of reasons why so many people in administrative jobs think in the ways that are reflected by these questions. Possibly it is because it is very difficult, approaching the impossible, for the individual to evaluate the quality of his own performance with an acceptable degree of accuracy. It is probable too, that this condition is brought about, in part, by the lack of a reasonably uniform common denominator. The majority think that they are doing all right because they have been successful in convincing themselves that their ideas about how to manage are valid ideas. And as they are convinced that there is no substantial difference between the way they do operate and the way they think they should then they must be performing acceptably. They are, in the light of

ORIGINAL ARTICLES

SYMPTOMS

SYMPTOMS OF THE DYSPEPTIC SYNDROME

BY DR. J. H. HARRIS, JR., CHICAGO, ILL.

Read at the meeting of the American Medical Association, Chicago, Ill., Oct. 1, 1929.

SYMPTOMS

The dyspeptic syndrome is a common clinical entity, and its symptoms are well known.

It is characterized by a group of symptoms which are usually present together.

These symptoms are: epigastric pain, bloating, belching, and flatulence.

It is important to note that these symptoms are not necessarily present in all cases.

Some patients may have only one or two of these symptoms.

Others may have all of them.

It is also important to note that these symptoms are not necessarily present in all cases.

Some patients may have only one or two of these symptoms.

Others may have all of them.

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Some patients may have only one or two of these symptoms.



their own viewpoints. But the other fellow doesn't operate the way they do so he must be wrong. He must be the one who needs to change. The one who should do things differently.

Can we agree that management practices in different organizations, and even at different levels in the same organization are often substantially different? Can we agree, as well, that these very variable practices cannot all be fully acceptable? In most every other profession the people who are looked upon as being acceptably competent perform in accordance with fairly uniform basic patterns. Are the limits of acceptability so extreme, relatively speaking, in the management area? Certainly, the answer cannot be other than a negative one.

If these conclusions are valid and are accepted it would appear then, that it is only reasonable to believe that the thinking of managers and the doing of managers should be reasonably uniform, at least with respect to the fundamental aspects. At the very beginning, perhaps, we need to start back even further. Probably the first step is to try to bring about general agreement as to just what the manager's job is, what he is supposed to do and how he is supposed to do it. The accomplishing of this first step appears to be no small undertaking. But it is something that is basically essential. Something that must be done in order to accomplish that which logically follows.

Can we agree that, within reasonable limits of variation, there is a best way to manage any operation? That there are certain basic principles which need to be known and need to be applied. And that in the application of these principles there are some fairly definite practices which need to be put into effect in order to insure adherence to the basic principle. If these things are true it seems to follow that the concepts, the views, and the





### - 3 - Some Typical Management Practices

attitudes of managers with respect to this function must be relatively uniform. To bring this about the people engaged in this work need to possess certain fundamental knowledge and need to be familiar with the results produced when this knowledge is applied in the work situation.

What about the individual who made the statement earlier that he did not need any help but his boss did need help badly? He seems to have been wrong on one count and right on the other. Let us look at this individual first. He seemed to infer, rather positively, that he knew all there is to know about the job of managing. It seems that he thinks he has arrived, that there is no additional knowledge he has need for, that he is performing at peak efficiency. It is highly probable that very few individuals engaged in other scientific, professional, and technological occupations would entertain similar viewpoints about themselves with respect to their individual specialties. And there seems to be no justification for the view of the manager which is so contrary to the views of these others.

How about the accuracy of this individual's views with respect to his boss? Solely by reason of the fact that the subordinate believes that his boss is not operating as he should would appear to be positive evidence that the subordinate's viewpoint is correct. It cannot be denied that a common understanding between these two people is obviously not present. And that fact alone is proof that the boss has been deficient in this one respect at least. It is rather conclusive proof that the boss does need some help.

It might be well to mention right at this point that the rather normal method of determining managerial competency on the basis of the superior's views is subject to serious question. Certainly, the evaluation of the manager's boss furnishes valuable information for he is the one who is intimately familiar with many of the subordinate's modes of operation as

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well as the results of the subordinate's efforts. However, the manager's boss is seldom entirely familiar with the true situation when his views are determined solely on the basis of his association with the subordinate. The picture is never complete unless full consideration is given to the views and reactions of the manager's subordinates. After all, they are the ones who are being managed. They are the recipients of the official influences exerted by their superior. They are the ones who know best how proper and how acceptable are many of the administrative practices of the individual who directs and controls their official activities.

The views, the attitudes, the convictions, and the modes of operation of managers are, generally speaking, substantially dissimilar. To test the accuracy of this statement we might consider asking these questions of a representative group of managers.

1. What do we mean by administration, by management?
2. What is supervision, who supervises, and how important is it?
3. What is morale and what causes it to be one way or another?
4. Do we need to be concerned about the kind of relationship existing between the superior and the subordinate?
5. How important is the organizing process and whose responsibility is it to do the job?
6. Is it important to evaluate individual performance? Who should do it? How should it be done? How often should it be done?
7. Is it important that a definite chain of command be established?  
Is it necessary to adhere to it?
8. What is meant by line and by staff and how do they differ?
9. Which employees are part of management?
10. Is it necessary to be concerned about the planning of the work of a unit? Is controlling an important part of the manager's job?

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These appear to be entirely appropriate questions to ask of those who are intimately associated with the field of management. But there is little doubt that responses to these questions would be substantially different. Differing sufficiently to justify the belief that there exists considerable variation in understanding and viewpoint. Accordingly then, is it not important that a real effort be made to bring about greater uniformity, at least in basic understanding? It seems very evident that an acceptable degree of uniformity and understanding must prevail before it will be possible to create a reasonable degree of uniformity in practice.

Let us consider some of these questions, and other similar ones. Let us consider, as well, some of the practices that are being followed. In this way the character and extent of variation can be brought out. And this will help us to determine just what the problem is, how serious it is. Possibly we can determine why it exists and decide upon a few methods for attempting to solve it, at least partially.

#### WHAT IS MANAGEMENT, WHAT IS ADMINISTRATION?

As we indicated in the preceding section, management and administration are essentially one and the same. In view of that fact we will use the terms interchangeably.

Administration is the function for which the individual in charge of an organizational unit is responsible. In discharging that responsibility he directs, and he coordinates, and he controls. It is the job of running an outfit, one that is large or one that is small by whatever standards are applied. Administration is a science, a complex science. And it is very evident why it is so complex. The administrator is dealing with, is responsible for the activities of, the most valuable and probably the most



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vulnerable of commodities. People. That commodity becomes, at times, somewhat unpredictable in its behavior. It follows then, that at such times administration becomes, to a degree, an art. The administrator or the manager is, at those times required to call upon originality and ingenuity in order to cope with the situation confronting him. The situation which did not conform to the "normal" pattern.

Nevertheless, the scientific aspect of administration is foremost. There are definite patterns which can be foreseen, which can be anticipated and which can be brought into being. It behooves every manager then, to repel the attitude, the belief, that all of his problems are different, are unusual, and could not be avoided or minimized. He must recognize that there are many things he can, many things he must do, to prevent problems from developing. He must operate "out in front" of his organization. It is his job to understand what he needs to do, and to do what he needs to do, to prevent the undesirable from happening. And it is his responsibility to take affirmative action to create conditions which will insure the development of that which is desirable and which are designed to avoid the development of that which is undesirable.

#### The Manager Is A Specialist:

How often do we hear the statement that the manager is a generalist? The fact that this view is voiced so frequently would seem to be a positive indication that the true character of the management function is far from clear. The tendency to accept the generalist idea, and to stop right there, is probably one of the principal reasons why individual viewpoints as to just what the function consists of are so variable. And often they are pretty vague.





The use of the terms "specialist" and "specialized field" is a standard and universal practice. With but very few exceptions these terms are used in relation to other scientific, professional and technological fields, or to the people operating in those areas. Also, it is not unusual to be informed that a specialist has been made a manager, an administrator, or supervisor. The inference is, of course, that that individual is no longer a specialist. That he lost his specialist status when he became a member of the management force. Such a concept could hardly be more inaccurate. That individual remained, or became, as the case may be, a specialist in the truest sense of the word. A specialist in management.

In view of these basic differences in viewpoint is it not appropriate, actually essential, that the management function be placed in fairly uniform perspective in the minds of the people who are managers or who aspire to be managers, right at the very beginning? It would seem to be clear that one of the necessary prerequisites for success in any individual or collective undertaking is to create a clear and accurate understanding, on the part of all those responsible, as to the nature of those responsibilities, as to the character of the job to be done.

With the existence of this uncertainty, or at least decided lack of uniformity, with respect to what the management job actually is, it is natural that the same differences in viewpoint prevail with respect to who the managers are. Managers are all those individuals who have the responsibility of overseeing the operations of an entire organization or any subordinate work unit. They are those unit heads from the first line supervisor up through the various administrative levels and including the highest ranking administrative official. Collectively, they make up the management force.





Unfortunately, there has been the strong tendency to apply the terms management, manager, administrator, and administrative in a very restricted way. To apply these terms to activities, and to the individuals responsible for them, relating to limited specialized areas such as property procurement, personnel, records, and the like. This practice has tended to create the belief that the only managers and the only administrators are the people associated with these activities. And that the only management and administrative work is that which is carried on by these specialized units. Of course, the people who run the operations of these units are managers and administrators and they are members of the management force. But in relation to the total organization they represent a numerical minority. The vast majority of the managers are elsewhere in the organization. They are the ones who serve as line officers heading up departments, divisions, sections, branches, and other work units as well as regional, district, and area operations in organizations that are decentralized to any degree.

#### The Manager's Job:

The concept that the job of every manager is basically different than the job of every other manager adds still more confusion to the whole general situation. The job of every manager, of every administrator is basically the same regardless of the kind of operations being carried on by the particular work unit. To further substantiate this view we might draw a comparison between the manager and most any other specialist. The doctor, the lawyer, the agronomist, the economist, and each of the others utilizes certain basic knowledge and applies certain fundamental principles which are peculiar to the particular scientific field in which he is operating.



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Of course, there are numerous factors which affect, even dictate, the precise manner in which the individual applies these principles. Environment, availability of facilities, character of the end product, established custom, and freedom of action are just a few of these influencing factors. And the manager is governed, to some degree, by these and other similar influences but the fundamental aspects of his job are virtually identical.

It is the manager's primary responsibility to accomplish the assigned functions of his unit through the efforts of others, through his subordinate staff. It is not his function to accomplish these things but to get others to accomplish them. There is a substantial measure of difference between doing and getting done and an individual may manage successfully only when he recognizes that difference and conducts himself accordingly.

It should be very evident that when a subordinate performs a task in an efficient manner his superior is also performing efficiently because that is the superior's job to get the subordinate to operate in a wholly acceptable way. It should be equally evident that when the subordinate fails his superior has also failed for it was the superior's job to get the subordinate to perform his work efficiently. Managerial competence can be measured only through the accomplishment of the subordinate force. There is no other means of measurement. The subordinate force is responsible for attaining the desired end result and the administrator directing that force is responsible for seeing that the force achieves that end.

How does the manager cause the members of his force to acquire responsibilities? "Delegating" those responsibilities to them. He does this by delegating with the degree of completeness that is necessary for them to accomplish the result for which they are responsible by virtue of the delegation. The delegation is complete only when subordinates are given

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The opportunity to redeem their responsibilities under appropriate direction. The manager leaves them alone so that they may exercise independent action within the limits of the delegation. He checks on them only with desirable frequency and "helps" them only when they need help.

The manager who fails to delegate properly or sufficiently, who "delegates" and then nullifies the action through interference, is assuming or is reassuming responsibilities which are not properly his. He is then attempting to do rather than to get others to do. Of course, he may be attempting to demonstrate that he is capable, mentally and physically, of doing the work of his entire force. No manager with a sizeable subordinate force is capable of performing efficiently all of the work of his subordinates. And more often than not, the manager is incapable of performing individual tasks and functions as efficiently as the individual subordinate responsible for them. This is exactly the way it should be. However, the real problem is to gain full recognition of that fact.

It seems to be clearly evident that the manager's road to success is through the development of his people. His job is to train and develop them to do their jobs and to equip them for more responsible assignments within the limitations of individual capability and other less personal elements.

It might be well to desist at this point and try to put the training concept in its proper perspective. To attempt to dispel the view, if it exists that people are being trained only when they are informed beforehand that they, individually or in groups, are going to be trained. Actually training is taking place continuously and the volume, as well as the effect of training in formalized "sessions" is, by comparison, negligible. Training does not result from any single precise effort. Training is the result of any influence which modifies the attitude, proficiency, or mode of operation of the individual. Influences are exerted in many ways. The kind of

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supervision received, organizational policy and practice, co-worker attitude, and the physical characteristics of the work place are just a few examples. It is impossible not to train subordinates. Training, inevitably present, may be and almost invariably is, both good and bad. A number of examples of both kinds will be discussed later on.

#### Poor Delegating Practices:

What are the results when the "manager" does not delegate sufficiently or properly? The answer, of course, is that the quality of management that is present is sub-standard. What are some of the effects upon the manager and upon the managed? Almost inevitably, the manager finds himself to be very busy. He is always "snowed under." He believes, and he is amply justified in that belief, that he is too busy to take time to listen to and to help his people with their problems. He is so busy doing, putting out fires, that he doesn't have time to prevent these fires from starting in the first place so that there will be no need for anyone to spend time putting them out.

It appears that some people occupying administrative jobs actually enjoy being busybodies. But this is a mighty costly form of entertainment to which a great many contribute.

What is the effect upon the managed? They are certain to perform at efficiency levels below the limits of their individual capabilities. They believe, and they are wholly justified in their belief, that their superior does not have full confidence in them. And they do not have full confidence in him. The leader is developing them. Yes, he is developing them, but the development is in the wrong direction. This is just one example of the undesirable type of training that is mentioned earlier. The kind of training which we must recognize and which must be eliminated.



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The very essence of every organized effort is the dependence upon each one, the leader and the led upon one another. The manager does not have the option of delegating or of not delegating. He has no choice. When he does not delegate, properly, he is not managing.

Quite frequently, a disturbing consequence of the non-delegating practice is a superabundance of rules and regulations. Those responsible for the operations to which these rules and regulations apply soon start doing much less thinking and much more looking. Looking for a rule to cover every situation confronting them. Under the policy of "everything covered by regulation" it is almost certain that there will emerge rules which are in conflict with the most elementary administrative principles. In addition some of the rules will be unenforceable. With the obvious effect of serving to deteriorate the others. It is fortunate that no human being is capable of devising a set of rules that is applicable to all future situations which may possibly occur. Although some are still trying to do just that.

#### The Manager Is A Supervisor:

Is supervision a part of the manager's job? Are first line supervisors a part of the management force? Each of these questions calls for an affirmative answer. Supervision and supervisors are present at every administrative level. The first line supervisor devotes virtually his entire time and effort to the direct supervision of those responsible to him. The administrative official responsible for the next higher level spends a little less time and effort on direct supervision and somewhat more time and effort on most of the other administrative activities. This same pattern holds true as we ascend in the official hierarchy.





Even though the volume of direct supervision lessens as we go from bottom to top, the importance of quality of supervision becomes greater as the volume of supervision decreases. Generally, we might say that the importance of quality of supervision is inversely proportionate to its volume. This is true for the reason that the quality of supervision below is substantially influenced by the quality of supervision above. The modus operandi, at least in all major respects, at each administrative level is dictated, to a substantial degree, by the way things are done in the levels above.

#### QUALIFICATIONS THE SUCCESSFUL MANAGER MUST HAVE

Basically, these requirements are very similar to those needed for successful performance in the other scientific fields. We are all familiar with the well established pattern - academic training, experience at progressively increasing levels of responsibility, and constantly keeping abreast of developments by maintaining familiarity with the expressed experiences and findings of others.

Unfortunately, the academic phase in the field of administration has been decidedly lacking. Some efforts have been made to overcome this deficiency to some degree. A great variety of methods have been used. So far, the results achieved by these substitute methods have been far from wholly acceptable. It seems probable that such lack of success is principally due to lack of effort. There is more, much more, than can be done and needs to be done to create the condition that is so badly needed. There is no shortcut to the attainment of competency in any one of the many fields of science. And any belief that this does not hold true with respect to the science of administration is wholly without foundation. This question will be dealt with later on in some detail.





Of course, the basic principles applied in selecting individuals for other kinds of assignments have equal application in choosing people to serve in managerial jobs. In each instance, the basic qualifications for the job to be done constitute the criterion which is logical and valid. Usually, the records of candidates who are considered for positions such as engineers, statisticians, economists, and the like, reflect the character and extent of academic training and work experience. In the consideration of candidates for managerial assignments it is usual that the records provide evidence of academic training in one or more of the other scientific, professional or technological areas but evidence of such training in the area of administration is frequently absent. Nevertheless, this evidence of academic training or practical experience, or both, in one or more of the non-management areas is sometimes the primary basis for selection of managers. It should be very evident that demonstrated competence in a totally unrelated specialty is not a logical basis for concluding that similar competence will be displayed in a management job. It should be equally evident that demonstrated competency in the form of personal performance is no indication that similar or even acceptable proficiency may be expected on a managerial assignment.

To illustrate this point, we would hardly expect a fully competent mathematician to function well as an anthropologist. Or an accountant as a soil scientist. An accomplished sculptor would probably get few bookings as a concert pianist. The most skilled carpenter would usually experience great difficulty in handling the job of construction superintendent. The ability to do things well and the ability to get others to do those same things well are separate and distinct virtues. In spite of this very obvious fact qualifications similar to those we have just mentioned often serve as





the basis on which managers are selected. As a general rule, the personal performer who is average, or even slightly below will prove to be the more efficient manager. The reasons should be quite obvious.

Basic Knowledge and Ability to Apply:

Every science, including the science of administration, is founded on basic principles. Such principles are, of course, firmly established conclusions based on individual and group experience which are portrayed in such form as to be usable instruments for those who encounter similar situations. To be successful in any scientific endeavor the individual must be familiar with, and fully understand, the basic principles of the science with which he is associated. Those who administer must of course be intimately familiar with the basic principles of the science of administration. They must be so familiar with them that they are readily able to apply them with effectiveness. Readily able to perceive the consequences of failure of application. And readily able to anticipate the need for their application as remedial or preventive measures.

Effective management results from the appropriate application of, the appropriate regard for, and the necessary adherence to these basic principles. When a management is replete with problem situations that fact is usually clear evidence of ineffectiveness at least in this one respect. Most problem situations arise from the lack of adherence to one or more basic principles. Any manager can prove this to his own satisfaction by taking a representative cross-section of the difficulties causing him concern and then analyzing those difficulties sufficiently to identify the basic causes. It is the cause, the source of the trouble, about which he should be most concerned and toward which he should devote his careful attention. The incident which resulted, which brought the basic deficiency to light, is





usually, by comparison, of negligible importance. Of course, the immediate situation needs to be corrected. But dealing with it, with the effect, may frequently be subordinated, or even temporarily disregarded, to advantage if effective treatment of the cause is thereby assured.

All those members of any organization who exert influence upon policy, practice, and procedure, must keep these principles in mind constantly. This is particularly true of those who take part in the framing of policy and practice. Any lack of familiarity, or any lack of competence or concern in this respect is liable to result in the establishment of regulations which actually call for violation of principle. This sort of condition is by no means as unusual as we might think. Because this is an ever present hazard, it behooves every administrative head periodically to make certain that any such existing requirement is identified and is eliminated or appropriately modified.

#### Ability to Organize:

Every organizational unit should be looked upon as a living, non-static entity constantly subjected to forces and influences necessitating prompt and positive action by everyone of its managers. It is never sufficient to "get organized" and thereafter continue to operate in just that way. Effective organization is assured only through re-organization which is timely, opportune, and necessary in the best judgment of those responsible. At the very beginning, the work must be logically segregated. And the responsibility, together with the needed authority, must be definitely and clearly assigned to those who take part in the carrying out of the operation.

A positive and clear chain of command must be established and it must be adhered to. All the people involved must be kept fully familiar with their official relationships to others. When the structure embodies both





line and staff units the people concerned must understand the functions, the responsibilities, the authorities of both, and the relationship of each to the other. They need to understand that it is the function of the line to accomplish the mission and the function of the staff to help, to facilitate, the line in meeting this responsibility. They need to understand that in the absence of specific delegation, known to all, the staff does not assume responsibility for and is never held responsible for any function of the line. They need to know that in the absence of specific delegation, with which everyone involved is fully acquainted, orders and instructions are not issued by the line to the staff or by the staff to the line. They need to understand that the line requests, the staff suggests, and the line accepts or rejects. That any violation of this relationship, any usurping, voluntary acceptance, or relinquishing of prerogatives, is certain to be disruptive and to result in loss of efficiency on the part of both.

Actual work experience in both line and staff jobs is a most effective way to develop a thorough understanding of and appropriate respect for, the true relationship of one to the other.

#### Ability to Plan Work:

The operations which are scheduled for performance at each administrative level need to be prepared for by the development of plans which are designed to facilitate the execution of the operations. Such plans must be realistic, attainable, possess the necessary characteristics to facilitate accomplishment, and be sufficiently flexible to permit appropriate modification as required to meet changing conditions.

The manager must realize that all members of his staff who are responsible for the execution of any phase of the operations should actively participate in work plan development, and in any subsequent modification.





It is necessary to understand that plans of work should be accorded approval consideration at all appropriate administrative levels, in accordance with the delegation policy which has been prescribed. The approved plans of work are effectively and fully utilized in the course of current operations. They serve as a helpful means of accomplishing the desired end and are not looked upon as the end in itself.

Organizational Objectives Are Clearly Established:

The desired accomplishments of the organization, of each of its component units, and of each member are clearly established and are fully understood at all times by all who need to know. Appropriate responsibilities together with the authority required to redeem those responsibilities are assigned to each individual to the extent necessary to enable him to carry out his job with the effectiveness required to meet the established standard. No individual may ever be held responsible for any condition in the absence of the authority necessary to enable him to maintain control. The prescribing of requirements and the assigning of responsibility and authority are essential for all jobs, including the jobs of the supervisor and of the administrator, the jobs of all managers.

The Operation At Each Level Is Effectively Administered:

It is not sufficient to develop an organization which appears to be sound to prepare good plans for the work to be done, to prescribe practices and methods and then assume that operations will be carried out in a wholly acceptable fashion. The operation must be administered, continuously, to see to it that there is acceptable adherence to the agreed upon plan of organization, to the approved plans of work, to the standards that have been prescribed and to see that the results that are desired are attained.

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The manager carries out his function of administering by directing, by coordinating, and by controlling. Each of these activities is an integral part of the management function and, therefore, an inherent responsibility of the manager. Direction, coordination, and control are so interrelated and so interdependent that each is subject to substantial influence by the other.

The manager directs, coordinates, and controls his operations by the complete utilization of each one of his subordinates. The manager anticipates possible unfortunate developments and takes such preventive action as he and his staff agree upon. He faces issues squarely and acts positively. He sees to it that related work operations are coordinated, by the application of practices which are both routine and those which are specifically designed to accomplish this purpose. He maintains control through the efforts of his staff, as well as his own efforts, by the establishment and operation of a systematic inspection system which produces the true facts about conditions as they exist, which provides for the comparison of actual conditions with the established standard and insures the effective utilization of the data acquired in the course of such inspections.

The preceding comments represent but a brief introduction to the consideration of the numerous factors which are ever present in every cooperative undertaking. There was no intent, at this stage, to discuss all of the basic elements of the manager's job or to cover in detail the numerous operating practices which produce the most satisfactory results. However, consideration of these and related items will occur in the material which follows.





THE GENERAL MANAGEMENT SITUATION

Many of the administrative and supervisory practices which have quite generally existed for generations are now recognized as being in conflict with sound management principles. Nevertheless, the practices to which we refer have been, and to an unfortunate extent still are, considered by many to be wholly acceptable. This being the case, it is not particularly difficult to recognize the primary reasons for the continuation of a set of circumstances even though they are recognized as being deficient in many respects. There is no alternative but to conclude that things are allowed to remain pretty much as they are for the reason that the quality of management that is present in the upper administrative levels is, too often, of about the same character. It is the responsibility of management to develop managers. To develop qualified managers requires an acceptable level of competency on the part of management. The question that immediately presents itself is, where do we start? The answer should not be a very difficult one. We have to start at the top.

As we mentioned earlier, the responsibility for supervising people is present at every administrative level in every organization. The sooner this fact is recognized the better, particularly for the millions of people who "work for someone else." The full time job of the full time first line supervisor is to supervise. When he is doing something else besides supervising he is, obviously, not doing his job. However, we are far from devoid of the situation wherein higher-up administrators appear to fail to recognize what the first line supervisor is supposed to do. Such superior officers are inclined to evidence a less than entirely pleasant state of mind when one of their subordinate first line supervisors is not "working" at some specific task or function. The fact that the superior feels this





way is rather positive indication of an alarming deficiency on his part. He should be unhappy, but certainly does not seem to realize it, when the subordinate supervisor is spending his time at something other than the direction of the activities being performed by the people in his unit.

Along the same line, those managers who occupy positions at the higher administrative levels are required to spend considerable of their time in work that is other than supervisory in character. The higher the management position in the organizational structure the less the amount of time the official devotes to the direct supervision of his subordinates. But the supervision he does furnish them, even though it is comparatively minor with respect to the time he devotes to it, is unusually important. This is true for the reason that the mode of operation of each manager, in relation to each aspect of his job, sets the pattern for the members of his subordinate staff. There is no other force which exerts a greater influence upon the way in which the subordinate operates.

A high standard of supervision at the lower levels is very difficult, approaching the impossible, when quality supervision is not present in the upper brackets. Under such a condition as this the subordinate supervisor is fighting a tough battle as he is operating under a serious handicap over which he has virtually no control. He is expected to perform efficiently in spite of a serious deterrent. A deterrent having no justification in its existence. It seems to be very evident then, that the presence of capable administrators in the upper levels is imperative if there is to be reasonable assurance of efficient administration all the way down the line.





SOME OF THE REASONS FOR THIS CONDITION

It would appear to be entirely possible that substandard administrative practices exist, and are allowed to continue, because the responsible officers do not fully recognize improper practices when they occur. They may have difficulty in recognizing the difference between what is right and what is wrong. Possibly another principal reason is that many people who occupy higher level managerial jobs seem to be very reluctant to admit that they are capable of evidencing any supervisory or other administrative weaknesses.

We have been forced to conclude, on more than one occasion, that some of these people have done a very good job of convincing themselves that they must be pretty good or they would not be where they are. They seem to have developed, and believe in, the principle that competency is an inherent quality imparted by incumbency. That is, that mere occupancy of the position confers upon the occupant all of the qualities and capabilities that are necessary to perform the duties of that position. This mental ailment which, of course, is downright ludicrous, seems to make its appearance with increasing frequency as we ascend in the hierarchy. There are, of course, exceptions to this and serious affliction may occur much earlier. But anything approaching epidemic proportions is confined, generally, to those levels which make up the upper one-half or thereabouts.

It would be of extreme benefit to everyone concerned, and particularly to the individual manager, regardless of the stature of the position he occupies, if he would take a good look at himself now and then to determine realistically if he actually is as competent an administrator as he thinks and as he would like others to believe. If he has developed the proper relationship with his subordinates he will be able to get the true facts





from them. If he has not developed this relationship he should have no difficulty in recognizing the propriety of his being rather skeptical of what he is told. And he should, if he will be honest with himself, realize that his question has been answered rather completely.

It is probable that there is still another good reason for the condition we are considering. And that is, the reluctance to face the issue. Even though the presence of such reluctance may be obvious to many, it is seldom openly admitted by those who are guilty of it. Frequently, the individual who appears to evade successfully the things that should get his attention, fully justifies the evasion in his own mind. He is able to rationalize that it is better for him, and probably better for others too, if he does nothing about the situation, particularly where he considers it to be of a rather distasteful nature. For example, he may never get around to taking any positive action to bring one of his subordinates into line because he tells himself, and probably others as well, that he doesn't want to do anything that will hurt anyone. This far from uncommon situation will be discussed in some detail later on. At that time we will analyze this type of attitude and will attempt to determine to our own satisfaction if it is as sound as it appears to be on the surface.

Before any logical steps can be taken to correct or to improve a deficiency, a problem situation, it is always necessary to determine clearly just what the specific conditions are that need attention. This is as true in the field of management as it is in any other. We must determine first just what the administrative deficiencies are that cause us to be concerned. The next step is to bring them right out into the open. But this is still not enough. After identifying the basic causes we then set out, in a positive manner, to devise ways and means for eliminating these causes or making





them relatively ineffectual. It is the manager's job to do just this. And when he does not, for any reason, follow this general pattern of action he is not managing. He is not doing his job. He is failing as a manager.

In the discussion which follows we will attempt to identify some of the less acceptable administrative practices that are most frequently observed. We will also attempt, in this discussion, to offer some comment about the remedial measures that would be beneficial under each of the circumstances described.

### TYPICAL MANAGEMENT PRACTICES NEEDING ATTENTION

We are concerned about the problem areas. Concerned about the things that are done, the things that are not done, and the methods of operating which impair the efficiency of the subordinate force. In this discussion we will limit comment to the most typical conditions which are of relatively major proportions. We will attempt also, to identify some of the basic causes. And try to bring out the course of action which, if applied, will tend to overcome the deficiency, at least to some degree.

#### Reluctance or Refusal to Face Issues:

This condition is dealt with first for a very obvious reason. A condition which is unsatisfactory is seldom corrected by doing nothing about it. Of course, if enough time passes the people involved and some of the other contributing factors will move out of the picture. And when that happens it might appear that the situation has been solved. But it is seldom solved in this way. We may never disregard the deterrent effects prevailing while the condition was in existence. And there are almost always disturbing consequences which extend way beyond the immediate area of concern, some of which remain long after the case has been "solved" by the normal

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The first part of the paper is devoted to a discussion of the general principles of the theory of the structure of the atom. It is shown that the structure of the atom is determined by the laws of quantum mechanics, and that the laws of quantum mechanics are in agreement with the experimental facts.

The second part of the paper is devoted to a discussion of the application of the theory of the structure of the atom to the study of the properties of the elements of the periodic table. It is shown that the properties of the elements are determined by the structure of the atom, and that the structure of the atom is determined by the laws of quantum mechanics.

The third part of the paper is devoted to a discussion of the application of the theory of the structure of the atom to the study of the properties of the compounds of the elements. It is shown that the properties of the compounds are determined by the structure of the atom, and that the structure of the atom is determined by the laws of quantum mechanics.

The fourth part of the paper is devoted to a discussion of the application of the theory of the structure of the atom to the study of the properties of the molecules of the elements. It is shown that the properties of the molecules are determined by the structure of the atom, and that the structure of the atom is determined by the laws of quantum mechanics.



and inescapable events which occur only by virtue of the passage of time and changing conditions.

The most typical problem situation confronting the average administrator is the one involving difficulty with one or more of his subordinates. Possibly the subordinate may be doing substandard work. He may be a trouble maker. He may be bypassing his superior. He may frequently be violating prescribed policies and practices, or is grossly negligent in any number of ways.

When such a condition exists there seems to be the positive tendency on the part of some managers to be very hesitant to cope with the problem on a man-to-man basis. Usually, the superior is able to justify, to himself, his lack of action. He does a good job in this respect by convincing himself that "the time isn't right," "it isn't as bad as it appears," or "George is a good fellow and I don't want to hurt him." Often this official will be sufficiently concerned about what others may think to try to convince them that he is making a sincere effort to do something about the situation. But he finds it more difficult to convince them than it was to convince himself.

Sometimes he goes about the job in a rather half-hearted way and frequently gives up when he encounters the first minor obstacle. It sometimes appears that he is more interested in finding an obstacle than in finding the solution. More interested in finding something that to his way of thinking will take him off the hook, even though he doesn't realize, or at least will not admit it even to himself, that he's looking for some means of escape.

Occasionally this individual literally refuses to believe the true situation. He refuses because he doesn't want to believe it. He may work



very hard at the job of trying not to see the true situation. Many times the amount of time and effort required to do this is much greater than the time and effort required to do something constructive. This type of manager seems to have learned the trait of the ostrich. And, like the ostrich, he hasn't yet learned that it just will not work. Rather unfortunately, the sands are pretty well populated with managerial heads.

Most managers can be helped to overcome this deficiency. However, before they can be helped to any great extent they must want to be helped. And it will be much easier and much more productive if they get a real assist from the boss. Or, at least, if the boss exerts no handicapping influence.

There are some definite conditions which must be developed, some definite things that must be done, in order to overcome this administrative weakness.

First, the manager must be made to recognize, and to accept, the fact that a definite part of his job, a definite responsibility, is for him to face up to his problems. He must realize that when he does not he is not doing his job, he is performing in a manner that is below the acceptable standard.

Second, he must be made to realize that it is to his distinct advantage to make a substantial change in his way of doing things. That he will find his job to be much more satisfying, and actually much easier, if he does not spend a lot of his time figuring out ways to avoid doing something. Just because he exercises some fortitude in facing up to the task he is responsible for will give him considerable satisfaction and he will find it a much more pleasant experience to live with himself.



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more pleasant experience to live with himself.

Third, he needs to recognize, and to accept, the real responsibility that he has to each individual member of his unit. We are all familiar with the rather prevalent tendency to disregard violations by subordinates for the reason that it is their "first offense." The responsible superior sometimes rationalizes to the extent of convincing himself that it probably won't happen again. And for that reason there is no reason for him to do anything about it. With this sort of an attitude the superior doesn't even let the offending subordinate know that he, the superior, is familiar with the condition. Many times the violator will think, as anyone naturally would, that he "got away with it." He may well be inclined to try it again. But the next time the violation, the unauthorized practice, or whatever the deficiency may be, will more than likely be more serious than it was the first time. If the subordinate gets away with it a second time it will not be unusual for other offenses to follow. And neither will it be unusual for them to become increasingly serious.

It is not unusual for the situation to get so far out of hand that some form of action can no longer be avoided. And at that stage, if it is not possible to transfer the problem to someone else, the consequences of the action will be much more serious than they would have been if proper action had been taken at the very beginning. Almost without exception, the principal in the case is the one who ultimately suffers the most because of the failure of timely action on the part of the responsible superior officer.

Under such circumstances as this it is not the least bit difficult to determine where the major fault lies. Nor is it difficult to determine how the situation that ultimately developed could have been avoided, or at least minimized substantially.





The answer is, of course, that the manager should face up to the situation and deal with it in a forthright manner at the very beginning. There is failure to do this because of the alleged desire "not to hurt anyone" the situation is allowed to develop to such a point that serious injury to someone is almost inevitable. The fact that the responsible officer failed to face the issue was bad enough. But perhaps the most unfortunate thing is that the real principal in the case, the one actually responsible, is seldom the one who suffers the penalty. The real problem employee is the supervisor. But this fact is frequently not even recognized and he not only gets away with it but is allowed to go on mishandling other cases in about the same way as he did this one.

It would seem well to recognize that this deficiency, unwillingness to face issues, is not confined to lower level managers. It is present at the so-called executive levels where its existence is even less justified. And the detrimental consequences at the upper levels are even greater.

It would seem that we have no alternative but to conclude that the forthright treatment of problem situations is an absolute necessity for efficient management in any organization.

#### The "Too-Busy" Superior

With rather alarming frequency we hear managers make the statement that they are too busy to do a lot of things. They say they are too busy to listen to the problems and the suggestions of their subordinates. They are too busy to plan the work of their units. They are so busy that they are never able to get around to see their people. Too busy to take a look at the organization structure to see if it's appropriate for conditions as they exist today.

It is always of course, that the manner should be up to the

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order today.



What is such an individual actually saying? He is saying, of course, that he does not have time to supervise his people and to administer his operations. That he does not have time to do the job he is being paid to do. And it means that work he is actually supposed to be doing is not being done. Usually, he is not doing his job because he is spending his time doing things that he is not supposed to be doing. He is often right when he says he is very busy. Of course, he is. But busy doing what? He is no longer a manager. Instead of being a "get-things-done-er" he is a "doer" a doer of jobs that are not part of his job.

It should be quite disturbing to realize that the administrator who is too busy to manage is, actually, disregarding the official instructions he is supposed to comply with. He is writing his own ticket. In essence, he is informing his superior how he, the subordinate, will operate, what he will do and what he will not do. He is setting his own standards for his job and is doing a poor job at it.

An individual who operates in this way is certain to have what he considers to be more than his share of trouble. He seldom will be wrong. This trouble develops because he is devoting more time, more effort, and more interest to work operations than he is to the individual and collective interests of his working force. But his troubles are of little consequence as compared to those experienced by the people who are required to look to him for leadership. The natural reaction of the subordinate should be evident to anyone, including this official. The subordinate feels that his interests are being slighted. That the boss is not interested in the subordinate or in his work. And that viewpoint is seldom an inaccurate one.

The capable superior devotes his primary attention to his people. He knows that they are the ones who are responsible for carrying on the





individual functions of the work unit. He knows that when he personally handles the job, except for the purpose of training or demonstrating, he is encroaching upon the responsibilities, the prerogative, of one or more members of his working force. He knows that if he gives the proper attention and consideration to his people the work for which he, and they, are responsible will be done as efficiently as they are capable of doing it. He knows that his success is measured by the success of his people. And he knows, as well, that he cannot be successful if his people fail.

Keeping Subordinates in the Dark:

Some managers think, and often say, that the subordinate knows how well he is doing his job without being told. It would be quite difficult to imagine a viewpoint that is less accurate than this one.

When the boss fails to keep the subordinate informed as to how he is performing his job, his only alternative is to resort to self-analysis. Most people are hardly capable of evaluating their own performance with any degree of accuracy. When they try to do this themselves, because the boss does not do it, the results they come up with will be largely determined by their dominant personality and temperament characteristics. The individual who is self-opinionated, or exceptionally confident with respect to his own attributes, is almost certain to believe that the quality of his performance is at a much higher level than it actually is. On the other hand, the employee who is less aggressive, more conservative, will be inclined to decide that he is performing rather less efficiently than he actually is. The views of both are, of course, often in disagreement with the evaluations of their superiors. In all probability, personal under-estimation of one's proficiencies is somewhat more prevalent than over-





estimation. It is perhaps unfortunate that the reverse is not true.

The absence of a clear and complete understanding between the superior and the subordinate, with respect to the performance of the latter, appears to be a condition that is not sufficiently unusual. It is not the least bit difficult to determine how prevalent this condition is and where it exists. One effective way is to select employees at random and ask for their opinions as to how they are performing in the eyes of their bosses. All too frequently they will give the same answer - "I don't know." At the same time it will be very evident that the great majority are sincerely desirous of knowing.

In all probability most of us are familiar with a substantial number of instances of this character. Just one of the many examples which we recall involved an employee with about twenty-five years of service in one organization. He had obtained a position of some importance and was highly regarded by all those with whom he associated, officially and otherwise. He had been with the same organization for all those years and his official contributions had been outstanding. This fact was recognized by most everyone else but apparently not by him. As a consequence, he was very uncertain as to the degree of success he actually had attained. This caused him deep concern. It bothered him greatly. His superiors, all through the past, had apparently thought it unnecessary to acquaint him with their views. It is possible they did not even think of doing it. But they should have.

Very naturally, because of the conscientious makeup of this man, he was in a frustrated state of mind most of the time. But he was characteristically successful probably with considerable effort, in keeping this





condition covered up until near the close of his career. Even so, it is probable that his true state of mind was disclosed only to one or two close friends. It may not be a very far-fetched assumption to conclude that this continuing state of uncertainty contributed, in no small measure, to the tragic and untimely ending of a brilliant career.

In spite of this serious handicap this individual maintained, throughout the years, a quality of performance considerably above average. There is, of course, no way of knowing the extent of the additional achievements that would most certainly have resulted from the timely removal of this feeling of doubt. And how little effort required to do it. At least, it is a certainty that he would have enjoyed a much happier life if his bosses had followed this one simple practice of providing him with an occasional frank evaluation. This is just one of many similar cases. Some of the others appear to be less serious. But any attempt to measure the degree of severity is largely conjecture.

No manager can claim, with any basis for substantiating his views, that a similar situation does not exist in his unit until he has done a good job of making his views known, clearly and with sufficient frequency, to each of his subordinates. It is not sufficient for the superior merely to tell the subordinate what he thinks of his work. There should be frank and thorough discussions at appropriate intervals. And the highlights of these discussions, together with the conclusions mutually arrived at, should be confirmed in memoranda which should be available to both parties and should be made a part of the official record.





Failure to Maintain Proper Superior-Subordinate Relationships:

Considerable has been said and much has been written about the importance of maintaining the proper relationships among people who work together. There are few administrators who have not read about, and perhaps received formal instruction of a sort in the area that is usually referred to as "human relations." Even though the rules in the field of human relations are relatively simple, cases of entirely acceptable working relationships are not inevitably present in all organizations.

Where the relationship between the superior and one or more of his subordinates is of a nature that is less than acceptable it seems probable that such a condition is due, in most instances, to one primary cause. And that is that the superior does not have a clear and complete understanding of what his job actually is. As a consequence, there is too little attention devoted to the prevention of problem conditions. And when the inevitable difficulties do arise then the responsible manager's first interest is to "put out that one fire." The hazards which caused the trouble in the first place are not clearly identified. And when that is the case it is hardly possible to go about the job of eliminating these hazards in a logical way. We all know that the best way to cut down fire loss is to discover the hazards and remove them or at least make them impotent.

The same basic approach is the right one for the manager to follow. The capable administrator is the one who will give a great deal of attention to the determination of what should be done, what he should do, to reduce the possibility of unfortunate developments on the part of his subordinates. After he has determined what should be done he then does it. He has to do these things deliberately. He has to operate out in front and he is not so naive as to believe that things will turn out all right





if they are left alone. Or that things will run smoothly in the future just because they happen to be that way at the moment.

All employees want to be brought in on things. They want to know what is going on and they want to feel that the boss is not holding out on them. In a work situation where the people think that they are being left out, the responsible administrative official will, too often, resort to the defense that he "can't tell what his people want to know unless they tell him." He infers, or says, that he can't read their minds. This type of an attitude is only a weak defense, an effort to escape. And it has no basis in fact.

The manager doesn't have to read his peoples' minds. He knows what he wants as an employee. He has a mind of his own and he is being paid to use it. All he needs to do is think of conditions as he would like to have them. And then, if he has treated his people the way he should he will have no difficulty in comprehending what they need that he is capable of supplying. And it will help him if he will do something else. He needs to realize, and he should not find this too difficult, that each of his subordinates is a human being just as he is. True, no two people are alike in all respects. But people are alike in many respects. With but few exceptions they are working because they have to work to earn a living. Nearly everyone likes to receive a little deserved praise now and then. Very few enjoy being bawled out. Most everyone wants to receive fair and impartial treatment. These are just a few of the ways in which almost everyone is pretty much the same as most everyone else.

The manager cannot be fully competent unless he realizes these basic similarities. It should help him to recognize them if he would only stop now and then to realize that, in all probability, he was once right where

the 11th November, 1918.

The 11th November, 1918, was a day of great significance.

It was the day when the armistice was signed.

The fighting had lasted for four long years.

And now it was over.

The world was at peace.

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his subordinates are. To realize that there is a strong probability that some of his subordinates just happen to be where they are instead of where he is. And to realize too that he has a boss and that he wants his boss to treat him just like the right guy he is certain he is.

It is not the least bit uncommon for the boss and some of his folks to be pretty close friends. Or if they aren't quite that close they still may think that they know each other pretty well. At least that is what they think. And for that reason there is the strong tendency to give virtually no attention to this business of establishing the right kind of relationships. The boss is inclined to not even give it a thought or if he does he'll come to the conclusion that nothing needs to be done and convinces himself that there will never be any reluctance on his part to deal forthrightly with any member of his unit. Experience would seem to indicate that this is a fallacious viewpoint. That no matter how well the boss thinks he "knows" a subordinate the proper relationship is seldom developed or maintained in the absence of deliberate effort. The capable supervisor will see to it that the right kind of relationship exists so that there will be no need to remove any barrier if and when one of his people becomes a "problem" with which he must deal.

#### Lack of Interest in Subordinate Development:

In spite of the hazards of repetition it seems to be of sufficient importance to mention again that the capable administrator, the competent manager, realizes that his people want fair treatment just as their boss wants the same kind of treatment. He not only recognizes this but he operates in such a way that it is evident to his people that he does recognize it. He will never convince them of this fact with words alone.





He does not even need to tell them that he will see to it that they get fair treatment. He can convince them only in one way. By action.

The general condition we are concerned about could be illustrated by citing numerous examples of existing practices. However, it seems probable that the consideration of just one practice, one of the worst, will bring out very effectively what we are talking about.

Certainly, we would all agree that most every individual, probably everyone, has some very definite ambitions. Ambitions which are similar and those which are very dissimilar. Some people want to make a lot of money, if they can make it legitimately. A few want to make a lot of money, period. Others want to become top level "executives." Some to be outstanding scientists. Others want to earn a good wage, under pleasant working conditions and not have too much responsibility while they're doing it. Still others have ambitions which are just as real but somewhat less definite. And sometimes individual ambitions are rather vague even in the minds of the individuals themselves. This characteristic applies to most everyone, including those who occupy managerial assignments. Administrative folks have some definite goals, sometimes rather ambitious ones, just like other people. Because they are, basically, not substantially different in this respect. But the important thing for the boss to do is to remember, always, that his people have ambitions just as he does. And that it is his job to take a vital part in helping them achieve their objectives. For when he does that, he is, at the same time, going a long way toward achieving his own objectives.

To be deprived of reasonable opportunity to achieve individual ambitions is an extremely disturbing experience for anyone. Nevertheless, this is a condition which does occur with unfortunate regularity.

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citing numerous examples of existing practices. However, it is probable that the consideration of just one practice, one of the very best, will bring out very effectively what we are talking about.

Community work is not a thing that is done by individuals, but

everyone, has a part to play in it. It is a thing that is done by everyone, and those which are very dissimilar. Some people want to make

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Specifically, we refer to the practice of the boss not helping a qualified employee get a better job, a job that he wants to get and often needs some help to get. This practice is bad enough but the really atrocious one is where the "manager" actually stands in the way of the deserving employee. This interference is accomplished in a number of ways. Holding back information concerning job opportunities, deliberately under-rating the employee to make him less acceptable to others, and refusing to grant a "release" are three of the most common ones. There are, of course, still more "methods" which are equally effective.

Occasionally we will hear about the superior who refuses to "lose" an employee by transfer because he says the work would suffer too much. We wonder if the individual guilty of this sort of thing ever stops to think how he would feel if he were in the subordinate's place. We wonder too, how such a boss is able to convince himself that he will continue to be respected by an employee who is treated this way. Or that the employee will be content to remain on the same old job and perform as acceptably as he did before.

The boss who refuses to release a subordinate for a better assignment frequently tries to justify the action by telling himself that he "can't afford to lose him." The truth is, and it should be very obvious to anyone, that the boss cannot afford not to lose him. For every fair-minded official who helps his people better themselves is always benefiting himself as well as the organization. When he always helps his people get something better, for which they're qualified, he seldom has a recruiting problem. People want to work in his outfit. They have seen so many others "go places" and that is just the kind of treatment they're looking for.





The official who says he is keeping down turn-over, is keeping his organization "intact" by refusing to let his people go will ultimately learn if he is honest with himself, that the opposite is true. He will learn just how wrong he has been all along.

On the other hand, the boss who always helps his employees get deserving advancements will find that his turnover is astonishingly low. For many of his people who could go elsewhere, to take over better paying jobs will stay where they are. They will stay for the reason that they appreciate the treatment they are getting and they want to keep on getting it. They are of the opinion that possibly the next boss would not treat them quite as well. And that is not a hypothetical hazard they are trying to avoid. It is a real one.

#### Failure or Refusal to Delegate:

The chances are excellent that every administrator, every manager, and every supervisor was, at one time, a non-supervisory worker. As such he was an individual performer. He had the responsibility of doing a specific job all by himself. And what others did concerned him hardly at all.

Then, for anyone of a number of reasons, he found himself directing a group of people, a group of subordinates for whose official acts he was responsible. The change was a radical one. Possibly it was so radical that he did not, at first, fully realize just how different the new job was. Then, sometime later, in the normal course of events, he found himself in a still more responsible administrative assignment. Now he was responsible for still more people. But his views toward his new job may have remained just about the same as they were before he first became a supervisory officer.





The change from a job requiring individual action which produces only the results of individual effort, to the situation where individual effort produces accomplishment through the efforts of others is one that many find to be almost insurmountable. The difference between the personal doing of the total job and the full time directing of other people to get the total job done is as great as the difference between night and day. In the first instance, the individual produces all of the accomplishment himself. And in the second instance the efforts of the same individual produce accomplishment through the acts of others. His only means of accomplishment is through the accomplishment of others.

For the reason that many people find it difficult, and some seem to find it almost impossible, to make this complete change in their mode of operation, we discover individuals with the titles of supervisor and of administrator who are not doing a great deal of supervising or very much administering. They have been told that they should "delegate." So they delegate, as they understand it, by informing each subordinate, perhaps rather vaguely, that he is being held responsible for certain specific operations. The subordinate may or may not be told that what he is doing represents a component part of the total job of the unit. If the manager passed along the necessary authority with the responsibility and if he saw to it that the arrangements he prescribed were being carried out he would then be managing. Too often, however, the "manager" seems to think that he has to retain virtually every segment of responsibility and nearly all of the authority and proceeds to prove that this is what he thinks by rather continuously dabbling in the work that he said was delegated and that the subordinate understood he was being held responsible for.

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This dabbling in operations for which responsibility and commensurate authority have been delegated is accomplished in a variety of ways. By making decisions and commitments without clearing with or even telling the subordinate who is presumably being held responsible. By double-checking on virtually everything that the subordinate does. By requiring that almost everything be cleared with the superior before permitting the subordinate to proceed, even though the necessary authority had been "delegated" previously to the subordinate. Or by reviewing, in detail, all directives and all other material originating in superior offices before sending on such material, if ever, to the subordinate actually responsible for the activities dealt with.

Then there are those who even go so far as to follow the standard practice of by-passing their own line officers and issue instructions to employees way down the line. How anyone could possibly imagine that these people would be able to carry out uncoordinated instructions from several sources defies explanation. Then there is the type of "manager" who just has to make some changes in almost every document that comes up to him from below. And he has to see all of them.

The consequences that are inevitable in situations such as these should be pretty obvious. The "manager" who operates according to any one or several of these practices is failing in quite a few respects. He is supposed to be developing his people. But he is not, he is accomplishing the reverse. By his own actions he is setting himself up as being more competent than his subordinates with respect to their individual specialties. Of course, he is seldom that competent and usually everyone else but him knows it. Because he changes nearly every decision, nearly every document originating with one of his people, he is





indicating in a very positive way that he believes the outfit would get into all kinds of serious trouble if he was not there to keep it straight. Should that be true, and it is well within the realm of possibility, the individual has conclusively proved that he has virtually failed in the administrative field.

A competent administrator is the one who has developed his force so that he can walk off the job, stay away for an appreciable period of time, and come back to find that things went along about as usual while he was gone. There is one way to create this condition. And that is for the administrator to run his outfit, while he is there, in such a way that the demands placed upon him, in the normal course of events, are negligible. He accomplishes this by relying on his people. By giving them full opportunity to develop self-reliance and confidence in themselves. By requiring that his subordinates operate constantly with a degree of independence and latitude restricted only by policy, practice, procedure and individual capabilities.

#### Faulty Organization:

In all probability, there will be no disagreement with the statement that before any job can be done right the individual doing it must know how to do it. That is not a particularly profound statement but the justification for making it will, we believe, become apparent. One of the functions of the manager is to organize. To arrange, and subdivide, and combine, and assign the various facilities available to him in such a way that the operations of the enterprise will be carried out with a reasonable degree of effectiveness. The number of ways in which these facilities may be assembled is almost unlimited. But there are certain ways which experience has proved to be much better than others. And the results of those





experiences have been crystalized into forms which make possible their utilization by others. These usable instruments are in the form of principles. Principles which are available to and needed by every manager.

For example, there is the one boss principle which had its origin many generations ago. It has been long recognized that no person may serve two masters, two bosses. This is not what might be classed as a "theoretical" idea. Nor is it a contemporary one. Nor does it take exhaustive research or a scientific mind to determine the soundness of this principle. Nevertheless, in spite of its so apparent validity and in spite of its very early recognition in the course of the social development of the world, the frequency of violation of this principle is even today astounding. In both large and small organizations it is not particularly unusual for the adopted organizational pattern to prescribe chains of command which not only permit but which actually require that the individual attempt to carry out mandates imposed upon him from several sources. Under such arrangements full efficiency on the part of the recipient, as well as on the part of those issuing orders to him, approaches the impossible.

A basic requirement of the organization pattern of any enterprise is that each member reports to and receives directions from one, and only one, official superior. Naturally, merely to prescribe this appropriate relationship arrangement is not, of itself, positive assurance that such a pattern will be followed. Adherence to the established pattern is brought about by the manager through the application of other administrative processes, through coordination and control. But the prescribing of the basic organizational pattern is the first essential step.





Then there is the question of the limits of individual capability to control adequately the activities of the force for which he provides direction and leadership. It is not difficult to recognize that a qualified person with command authority will experience no particular difficulty in controlling the activities of one other person if he too is acceptably competent and reasonably cooperative. Nor is it difficult to recognize that the job of controlling the activities of two individuals is a little more difficult. For when the subordinate force is doubled, from one to two, another complete set of influences is added. It means that the superior officer must divide his attention, his time, and his effort. All things being equal, he can now give the first individual only about half as much attention as before.

But the problem is still more complex. The superior now has a different set of personality characteristics to deal with. As well as experience and proficiency factors which are different from those which existed before. But there are still more influences which come into being when the subordinate force is doubled. Each of the two subordinates must be dealt with individually and, usually, they must be dealt with as a unit. When they operate independently they react in one way but they react in a somewhat different way when functioning in combination, as a cooperative unit.

The addition of one more subordinate serves to complicate the situation still further. But the increase of one bringing the total up to three, does not merely increase the directional load by one-third. The superior not only has to deal with still another set of personality factors but with a subordinate force of three functioning as a unit. And under this condition each of the three reacts differently than he does when

The object of the present work is to show that the

principles of geometry are not independent of the

principles of arithmetic, and that the latter are

independent of the former.

The first part of the work is devoted to the

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arithmetic from the principles of geometry.

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dealing separately with the boss. And each reacts somewhat differently when he is functioning separately with either of the other two subordinates in the absence of the boss. And still differently when dealing with either of the other two subordinates in the presence of the boss.

As the subordinate force is still further increased by one more employee the number of possible relationships which the superior must cope with increases to a very substantial extent and as still more subordinates are added the condition becomes more and more complicated until the breaking point is reached.

Of course, there is no hard and fast rule as to the number of subordinates any manager may administer with optimum results. This is true for the reason that there are many factors in addition to the one relating to numbers which exert substantial influence. The character of the work, particularly the extent to which it is repetitious. The physical proximity of the superior to the members of the subordinate force. The degree of decentralization. And the individual capabilities of the manager and of each of his subordinates represent some of the factors which have bearing upon the general situation.

However, there are numerical extremes in both directions which are almost certain to cause trouble. When the number of subordinates is too few there will be the natural tendency for the superior to "over-direct" and to delegate to less than a desirable extent. This arrangement appears with relative infrequency. It is the condition of too great a number of subordinates which occurs with considerable frequency and which causes a great deal of concern. Generally, officials in the lower administrative levels may successfully administer the operations of more subordinates than administrative officials in the upper levels. A first



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line supervisor might be able to handle effectively a work unit of twenty or thirty people under favorable working conditions. While this same number would usually be entirely too great in the case of an administrator located in the upper levels of the organization.

In spite of the well established facts with relation to the administrative limitations of any one person the number of instances of violation of this basic principle is far from negligible. Some of these situations exist for certain very definite reasons. It seems to be probable that gradual expansion of operations represents one of the most common causes of the condition whereby one administrative head is called upon to administer an excessive number of subordinates. The unit may have been rather small at the beginning. But as a result of gradual increases in the force the number of people reporting directly to the administrative head became greater and greater. Often, the change is so gradual that its consequences are not recognized until the inevitable difficulties start showing up. What actually happens is that organizational adjustments that are necessary to keep pace with changing conditions are not made when the need first develops.

The appropriate size of the subordinate force is something which is not subject to precise determination beforehand. But the dangers that are inherent when the number of subordinates is too few, and when the number is too great, are very real. Management needs to be aware of the dangers. And needs to recognize that the ratio of manager to managed represents a potential source of difficulty which may never be overlooked. Which requires periodic consideration in order that appropriate action may be taken in advance to prevent trouble from developing. And to be taken into consideration whenever administrative difficulties of any particular consequence develop.



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There are a number of other organizational deficiencies which could be mentioned and described in some detail. But brief comment about them should suffice.

The prescribed organizational relationship of line and staff represents an area of potential difficulty. The structure of the organization must provide for appropriate segregation, appropriate differentiation of these two segments. At best, it requires competent administration in order to keep these two segments properly segregated and at the same time properly integrated. But the real trouble arises when the basic structure itself reflects that certain staff units exercise command jurisdiction over certain line functions. This situation is most likely to exist when there is not adequate recognition of, and respect for, the real difference between the fundamental purpose of the staff and the fundamental purpose of the line. When the basic structure was developed without adequate regard for these fundamental differences the results that are produced include the violation of not only this one basic principle but one or more others, as well. And, of course, such violations of principle result in, actually require the application of practices which are serious impairments to efficiency.

Overcentralization, over-decentralization, and the grouping of unrelated work activities represent other organizational practices which are far from infrequent. Practices which contribute in no small measure to the overall difficulties of the management force. Organization is an important phase of every manager's job. He needs to be familiar with the basic principles that are involved. He needs to know how to apply these principles, to understand what is almost certain to happen in the absence of appropriate regard for them, and he needs to recognize the





various operating conditions which are valid indicators of the presence of basic organizational deficiencies.

Faulty Communications:

Good communications represent a condition which is basically essential to the effectiveness of virtually all administrative operations. It matters little how appropriate the policy is, how proper the procedure is or how valuable the ideas of the subordinate force if the necessary information is not received or is not understood. In order that he may perform with reasonable efficiency every employee needs to know and to understand what is expected of him, how he is expected to operate, the extent of his responsibility and his authority, his official relationship with other members of the organization, and many more similar things. These are the things he needs and has a right to expect to receive from management, from his boss.

But the communicating process is far from complete when the flow is in but one direction. It is perhaps questionable as to which is the more important, the flow from above or the flow to above. As we go higher and higher in the organizational structure the number of sources from which information is supplied becomes less and less. Purely from the standpoint of numbers the potential sources of information are always greater in the levels that lie below.

What are some of the consequences when communications within an organization are not up to standard? Policies and practices are not clearly understood. The facts that are lacking are supplanted by conjecture and rumor. Valuable ideas are suppressed. Employees tend to become suspicious of, and lose respect for, the boss when they have reason to believe that he is holding out on them. General efficiency is lowered because of the existence of misunderstanding, lack of full under-



... of the ... ..

standing, and lack of full utilization of the worthwhile knowledge that is available.

It is a well established fact that the individual fears the unknown. And it is equally well established that the presence of fear tends to reduce the opportunity for sustained high level performance. It would seem to follow then, that an important responsibility of the manager is to reduce the fear element, in the minds of his people by reducing the unknown. Like his other responsibilities, this will not happen all by itself. It must be done deliberately if it is to be done completely. The manager needs to be constantly asking himself this question: "Who should know about this?"

The methods of communicating are many. The conventional methods are, of course, based upon that which is written and that which is said. But the effectiveness of the spoken and written word is dependent, in the final analysis, upon the extent of agreement of the action that follows with the statement on which such action was based. To state a policy, a practice, a procedure and then to proceed to operate in a manner in conflict with these statements is one of the surest ways to install a state of communications that is less than acceptable. We must conclude that there remains a great deal of truth in the adage that "actions speak louder than words." And we must conclude that one of the most effective means, one of the most effective media, of communications is in the form of action. It is what the manager does rather than what he says or writes that counts the most. And if what he does is in disagreement with what he says he will soon find that his subordinate staff will have little regard for what he says. They have no other alternative.

Let us consider some of the things that managers may do, or may not do, which are reasonably certain to impair, possibly to an alarming

It is a well-known fact that the American Medical Association has been the leading force in the development of the medical profession in this country. Its efforts have been directed towards the improvement of the medical education of its members, the advancement of the medical science, and the betterment of the medical service to the public.

The American Medical Association has been successful in its efforts to improve the medical education of its members. It has established a system of medical education which is recognized by the government and the public. It has also been successful in its efforts to advance the medical science. It has supported the work of its members in the field of research and has been instrumental in the development of many of the most important medical discoveries of our time.

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degree, the general condition which must prevail if a state of sound communications is to be established and maintained.

1. The absence of relatively uniform operating standards. Certainly, employees should never be expected to presume how their bosses want them to operate. The employee needs to know what he needs to do in order to perform in a manner which is acceptable in the eyes of his boss. No individual may be subjected to justified censure for operating to the best of his ability, but in the dark as to how his boss wants him to operate.

2. To tell subordinates about an impending development of concern to them only when there is something new to tell. Subordinates want to be kept current. They want the boss to tell them what he does know and what he does not know.

3. The superior is the carrier of glad tidings but "delegates" to a subordinate the job of passing along the bad news. A good example is the situation in which a number of employees are competing for an assignment or for something else each of them looks upon as being desirable. Only one can be successful. The responsible administrator may inform the winner that he has been chosen but fails to inform those who were unsuccessful. To be handled properly, the operation would be reversed. The ones who lost out would be so informed first and the successful competitor last. There is no problem inherent in the situation surrounding the one who is successful. But there are real problems with relation to those who are unsuccessful. They need to be informed promptly and fully and given the true reasons for their lack of success.

4. The absence of work plans in which all responsible for some phase of execution took part. Or, worse yet, the devoting of considerable time to work plan development and then conducting operations without appropriate regard for such plans of work.

1. The first part of the document is a letter from the President of the United States to the Congress.

2. The second part is a report from the Secretary of the Interior on the condition of the public lands.

3. The third part is a report from the Secretary of the Treasury on the condition of the public debt.

4. The fourth part is a report from the Secretary of the War on the condition of the army.

5. The fifth part is a report from the Secretary of the Navy on the condition of the navy.

6. The sixth part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

7. The seventh part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.

8. The eighth part is a report from the Secretary of the Department of the War on the condition of the army.

9. The ninth part is a report from the Secretary of the Department of the Navy on the condition of the navy.

10. The tenth part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

11. The eleventh part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.

12. The twelfth part is a report from the Secretary of the Department of the War on the condition of the army.

13. The thirteenth part is a report from the Secretary of the Department of the Navy on the condition of the navy.

14. The fourteenth part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

15. The fifteenth part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.

16. The sixteenth part is a report from the Secretary of the Department of the War on the condition of the army.

17. The seventeenth part is a report from the Secretary of the Department of the Navy on the condition of the navy.

18. The eighteenth part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

19. The nineteenth part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.

20. The twentieth part is a report from the Secretary of the Department of the War on the condition of the army.

21. The twenty-first part is a report from the Secretary of the Department of the Navy on the condition of the navy.

22. The twenty-second part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

23. The twenty-third part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.

24. The twenty-fourth part is a report from the Secretary of the Department of the War on the condition of the army.

25. The twenty-fifth part is a report from the Secretary of the Department of the Navy on the condition of the navy.

26. The twenty-sixth part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

27. The twenty-seventh part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.

28. The twenty-eighth part is a report from the Secretary of the Department of the War on the condition of the army.

29. The twenty-ninth part is a report from the Secretary of the Department of the Navy on the condition of the navy.

30. The thirtieth part is a report from the Secretary of the Department of the Interior on the condition of the public lands.

31. The thirty-first part is a report from the Secretary of the Department of the Treasury on the condition of the public debt.



5. The violation of the chain of command, bypassing, in other than extreme emergencies. And when such violations occur, for the violator to fail to acquaint promptly and fully those who were by-passed with the details of the incident, and the justification for such departure.

6. The absence of the proper relationship between the superior and the subordinate. Keeping the subordinate in the dark as to how he is performing his assignment. Maintaining contact with the subordinate only when things go wrong, with the result that the subordinate spends a great deal of time developing the defense he thinks he must always have available in order to justify what he did.

7. The downright atrocious practice of deliberately hiding from subordinates information of interest and real concern to them. For example, opportunities for advancement or for jobs that are otherwise more desirable. The manager who believes that he is justified in suppressing information of this character or that he is capable of keeping from his people the information they are entitled to is grossly in error on both counts. His people will find out, sooner or later, and when they do their opinions of the boss will be exactly as one might expect.

The manager who is too busy, or for any number of other "reasons" doesn't have the time or is unwilling to listen to the suggestions, ideas, problems, and gripes of his people. Communications are bad but the results of this lack of communication are almost disastrous. When this condition prevails it is rather positive proof that the responsible administrative official does not understand what his job is. He does not realize that he is failing to utilize the most valuable resource available to him. Possibly he may be entertaining the erroneous opinion that his own individual knowledge and capabilities are sufficient for the efficient operation of his unit.





Any managerial official should adopt and apply the principle that his subordinates should know all they need to know and, in addition, all they want to know that they have a right to know. And the second part of that principle, that free subordinate expression and full utilization of subordinate expression are essential to managerial success.

Other Undesirable Practices:

We could describe in similar detail, quite a number of other improper practices with which many of us are familiar. But possibly merely mentioning several of the others will appropriately serve the purpose at this stage of our discussion.

Under-utilization of staff is a condition which is not nearly as unusual as it should be. Of course, this condition results from a number of specific practices some of which have already been mentioned. Lack of appropriate delegation, lack of interest in the individual, failure to provide appropriate recognition and credit, and failure to obtain and utilize subordinate contributions are just a few of the things which will produce such a result.

The assignment of responsibility without adequate authority. This is one of the very worst. Sometimes the boss will give one of his people a job to do but will not, at the same time, furnish the necessary authority so that the one held responsible may exercise the necessary control over that for which he is responsible. The individual who finds himself caught in this sort of a situation is, of course, virtually helpless. And any superior who would be a party to such an arrangement, deliberately or otherwise, is guilty of malpractice in the extreme.





Lack of adequate control. The manager's job is to direct, coordinate, and control. When anyone of these major phases is seriously neglected the management function is not being carried out completely. It is rather surprising, and certainly disturbing, to observe the frequency with which there is failure to recognize that the control function is an integral and an inseparable part of the management job. There seems to be no alternative but to conclude that when effective control is absent those responsible for that condition are presuming that all policies, practices, procedures, and other instructions are entirely appropriate, are understood, and will be fully complied with. No such assumption is justified.

SCUND MANAGEMENT IS NOT POSSIBLE WHEN DEFICIENCIES  
ARE DISREGARDED

The practices we have just described represent only a few of the major administrative deficiencies which are in need of a great deal of attention. There are, of course, a great many more that could be mentioned. Possibly some of the others are not as serious as these but the fact that they exist is disturbing, nevertheless. Many of those practices which have not been mentioned will show up later on as we discuss the several individual elements which, taken collectively, make up the function of administration.

We have reviewed some of these major deficiencies for a very definite reason. Failure to do this would have been, in itself, a serious deficiency in our consideration of this field. It would have represented failure on our part to "face the issue." In addition, our consideration of the total management area would certainly have been less than fully effective had we not attempted to identify the real problems that actually

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exist. This is what we are concerned about, the typical problems and the deficiencies which create them. For if there were no substantial difficulties we would be wasting our time by being concerned about things that are already solved or about conditions of insufficient importance to justify any substantial effort to solve them.

In our discussions which follow we will consider these problems, and others like them, in greater detail as we deal with each major phase of management on an individual basis. At that time many desirable practices will be identified. By doing this it may be possible to contribute, in some degree, to the correction of these difficulties. But most important it may be possible to bring out the safeguards which need to be employed in avoiding them.

#### INDIVIDUAL CHARACTERISTICS NEEDED BY THE SUCCESSFUL MANAGER

The individual who occupies an administrative position, whether he be the supervisor of the smallest first level unit or the highest ranking administrator of a large organization, must possess certain very definite basic qualifications if he is to be successful. These needed qualifications include basic knowledge, interest, certain personality characteristics, attitudes, aptitudes, and other qualities which experience has proved to be requirements in this field of endeavor. Certain of these qualifications are essential to success. Others are desirable and the ultimate level of competency will be enhanced by their presence. But the partial absence of certain of them may be adequately compensated for by other outstanding attributes of major significance. The more important qualifications factors will be considered in some detail in the material discussed in the next section.





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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 3

SOME TYPICAL MANAGEMENT PRACTICES

WORK ASSIGNMENT

1. Describe, in adequate detail, three actual situations with which you are familiar which you consider to be the results of substandard management practices. Make certain to avoid true identification of organizations, people, and places by using fictitious names. The situations cited need not relate to the organization with which you are now associated or to one in which you have ever been employed. However, it is important that actual cases be described and that you be sufficiently familiar with each case to supply all pertinent aspects.
2. With reference to each of the three situations described under question number one above, express fully your views with respect to the following:
  - a. The basic cause or causes of the situation.
  - b. The action you consider to have been most appropriate, under the circumstances that existed, in an effort to effect substantial or complete correction.





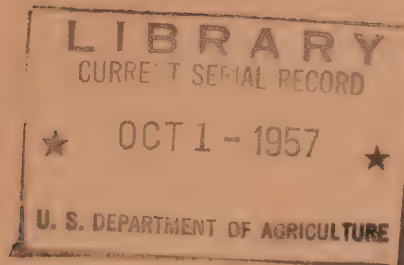




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SECTION 4  
CHARACTERISTICS OF THE SUCCESSFUL MANAGER

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WASHINGTON, D. C.  
1957





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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 4

CHARACTERISTICS OF THE SUCCESSFUL MANAGER

THE MANAGER'S JOB

It would seem to be appropriate, right at the very beginning, to take a careful look at the job the manager has to do. Of course, when we are considering the manager's job we are thinking of the jobs of administrators, supervisors, "executives," and all of the others which involve getting things accomplished through the efforts of others. Through the efforts of a subordinate force, a group of people working under the jurisdiction of one individual, under the direction of the managerial official we are discussing.

It might appear to be unnecessary to spend any great amount of time and effort in determining just what the manager's job amounts to. However we believe that doing just this is the logical process in any similar instance and is particularly necessary in this one. For individual viewpoints concerning the character and scope of the managerial function seem to be widely divergent. As a matter of fact, the absence of fairly general agreement on this one point may well be one of the main reasons why so many difficulties are encountered in attempting to bring about substantial improvement in the whole management area.

Before attempting to decide on the kind of person to select for any job it is always necessary to have a clear idea of what the job is, of what its requirements are. When we hire a stenographer we try to get someone

TO THE HONORABLE THE COMMISSIONER OF THE LAND OFFICE

REPLY

TO THE HONORABLE THE COMMISSIONER OF THE LAND OFFICE

THE LAND OFFICE

It is a pleasure to be permitted to submit to you this report on the work of the Land Office during the year 1910. The report is divided into two parts, the first of which contains a summary of the work of the Land Office during the year 1910, and the second of which contains a summary of the work of the Land Office during the year 1911. The first part of the report is divided into three sections, the first of which contains a summary of the work of the Land Office during the year 1910, the second of which contains a summary of the work of the Land Office during the year 1911, and the third of which contains a summary of the work of the Land Office during the year 1912. The second part of the report is divided into two sections, the first of which contains a summary of the work of the Land Office during the year 1910, and the second of which contains a summary of the work of the Land Office during the year 1911.



who is capable of transcribing dictation and is able to operate a typewriter with the required speed and accuracy. We try to select a qualified lawyer to handle a court case, an experienced auditor to check financial records, and a capable mechanic to maintain and repair equipment. We may not always be able to find someone with all of the education, training, and experience necessary fully to qualify him to perform acceptably all aspects of the job. But we do insist that the individual selected possess certain basic qualifications.

In the instances just cited, and in all other similar situations, it is the standard practice, because it is just good business, to insist upon someone with at least the minimum basic qualifications necessary for the specific work to be accomplished. He may possess qualifications for other kinds of work which are unrelated to the activities we have in mind. But these other qualifications may not be any indication of his proficiency in the field in which we are interested. And these other qualifications, no matter how acceptable they may be, do not necessarily enter into the determination of acceptability for the job we have in mind.

It would seem to be just as logical to apply this same line of reasoning when we are selecting someone to head up an organizational unit, to run an outfit, to oversee an activity, to administer or manage or supervise. And in identifying the kind of person we are looking for we should never lose sight of the fact that the job of managing is separate and distinct from all of the many personal performance jobs. We must constantly recognize as well, that because the manager's job is to manage, the mere fact that a person has demonstrated that he can "do" a specific kind of work exceptionally well is no assurance that he is capable of managing efficiently. No assurance whatever that he is able to direct others so that they will do that





same kind of work as well as he did or to an efficiency level that is even acceptable.

For example, it is probable that but very few highly skilled cabinet makers would prove to be good superintendents of construction; that the best mechanics would probably not, as a general rule, make good service managers; that the eminently well qualified mathematics professor would usually experience great difficulty in serving as university president; that a recognized authority in one of the highly specialized fields of electronics research might find it very difficult to direct efficiently a widely diversified research program. In selecting people to serve as managers there is no more important fact to keep in mind constantly. That demonstrated ability to do something well and the ability to get others to do that same thing, or other things well have little in common.

The job of the manager has been defined many times. And each definition has said about the same thing. We might agree that the job of managing, the job of administering is briefly to oversee an operation that is carried on through the efforts of the people who comprise the organization. It might be well for us to hesitate at this point to recognize that the "organization" and the "employees" are, in essence, one and the same. Without the "employees" there would be no "organization." It would seem to follow then, that whatever is good for the employee is good for the organization. And that those things that are not good for the organization are not good for the employee. We might also try to keep in mind all of the time that every member of the organization is an employee, regardless of the title or relative rank of the position occupied and regardless of the kind of work the individual does.

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It might be well for us to make another comparison which may be of help to all of us in arriving at a common understanding as to the job of the administrator. Each of us has heard the statement made, perhaps not once but many times, that human beings are not machines and that they should not be treated as though they were. Obviously, most all of us would accept that as a true statement. But an organization and a complicated machine have many things in common. The machine has a very definite capacity, it can produce only so much. The same is true of an organization for it has very definite capacity limitations. The parts which make up the machine are interdependent and for efficient operation they must be synchronized so that they "work together." Employee effort must be synchronized, must be coordinated. Machine parts are subject to fatigue which may result in breakdown and irreparable damage which may be corrected only by replacement. The same is true of the "parts" of an organization. And finally, to operate efficiently and economically a machine must have a skillful operator, one who knows what to do, how and when to do it, and who does these things when and how they should be done.

This pretty well describes the job of the manager. An organization too, must have a skillful operator if it is to run smoothly and produce to capacity. The manager utilizes fully the capacities and capabilities of all of the parts of the organization. He sees to it that the parts work together, that the effort of each one is integrated, is coordinated, with the efforts of the other whenever they are to any degree interrelated and interdependent. He determines what needs to be done to start it running smoothly and to keep it running smoothly. In effect, he sees that the necessary "servicing" is taken care of.





But the major difference, of course, between the complicated machine and an organizational unit is that the latter is much more complicated. It is much more complicated because its "working parts" are much more valuable, much more vulnerable, and taken individually are much more complex.

It seems to be very evident, then, that there is every justification for recognizing, and for admitting, the complexities that are inherent in the management process. And that there is equal justification for always selecting, as organizational unit heads, those individuals who possess the attributes that are necessary to deal effectively with these complexities.

Now that we have discussed the "job" of administering, of managing, of supervising, let us take a look at the person, the individual, we should select in an attempt to insure the efficient execution of that job.

#### BASIC CHARACTERISTICS INFLUENCING MANAGERIAL COMPETENCY

Probably all of us have heard this comment made with considerable frequency. "He is a natural born leader." It is very true, of course, that heredity has a definite influence upon such things as individual capacities and physical characteristics. However, we may probably properly conclude that individual attitudes and many personality characteristics are influenced to a substantial extent by environment and education and training. All of these factors, regardless of where they originate, have considerable bearing upon the capabilities of the individual as evidenced in the work situation. Naturally, these same factors exert great influence with respect to the managerial qualifications possessed by anyone.



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As it is true that numerous attributes other than those which are inherent in the individual, exert a pronounced influence upon the managerial competency of the individual, the frequently expressed belief that "leaders are born, not made," must be considered as far from accurate. It is true, of course, that exact equality in supervisory competence, or competency in any other field, is non-existent. With virtually the same opportunities and with comparable expenditures of effort the results that are produced, with respect to the individual, may be somewhat similar but never identical. Because of variation in individual capacity, variable interests, and probably of even greater importance, because of differences in temperament and personality characteristics, the degree of competence displayed by individuals in similar situations will vary from one extreme to the other. The individual members of a group may appear, on the surface, to possess very similar qualifications. But the individual competence attained may vary from highly successful to mediocre to downright failure.

It seems very evident then, that in selecting people to manage something we must look not only at the surface but well beneath it as well. We must not only recognize what the basic characteristics are that are essential but we need to recognize also, the extent to which each one of these characteristics is present in the individual. All of the time that we are "looking," and never losing sight of what we are looking for, we must be constantly alert to the one hazard that is ever present. We must never fail to keep clearly in mind that the job of the individual, the manager, we select is to get other people to perform acceptably their individual assignments. That the demonstrated ability of the individual to do one or all of the several jobs himself is, of itself, <sup>not</sup> definite proof that he will be able to get others to perform in an acceptable manner.





It has been clearly demonstrated, time and time again, that outstanding ability to "do" individual jobs is frequently a positive indication of inability to get others to do them. There are, of course, numerous exceptions. But as a general rule, it is a sound practice to take a long second look before assigning to high level managerial posts those individuals who have attained outstanding prominence as non-managerial specialists.

Once we have determined that an individual possesses the essential basic characteristics, we may feel reasonably confident that a likely candidate has been discovered. The fact that these characteristics are not fully developed, or even that their presence is not realized by the individual himself, need cause us no particular concern. If the candidate has demonstrated that he has the qualities, the capacities and the attitudes we are looking for we need not be particularly concerned over the fact that the required administrative proficiencies have not yet been conclusively demonstrated. We may be reasonably certain that the required proficiencies will be acquired when the necessary opportunities to acquire them are made available.

But in the absence of these basic characteristics we have no logical reason to conclude that the individual will prove to be a capable manager. In fact, the demonstrated absence of these basic characteristics should lead us to only one conclusion. That it appears improbable that the individual will prove acceptable in an administrative assignment. Under the circumstances, there is no valid reason to think otherwise.

#### Determining Basic Attributes of the Individual:

Obviously, the identifying of those people who possess the necessary basic attributes is the first step in the selection process. After that has been done we then have something solid to build on. Something that is not

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unlike a secure and firm foundation for a building. A foundation on which we can, with reasonable confidence, develop a superstructure which, under normal circumstances, will stand. One which will stand up under pressure and which will not fall apart when disruptive influences are encountered.

In determining the presence or absence of the basic attributes we are looking for it is not always necessary to observe the manner in which the individual operates in actual managerial situations. This determination may be made by observing the way he performs in most any work situation, and particularly in the kind of situation requiring cooperative effort. The way he reacts to situations and the way people react toward him, day in and day out, are almost infallible indicators. It is not what he says that counts the most. It is what he does, how he does it, what he doesn't do and what he doesn't say that tell an accurate story.

The way the individual operates outside of work hours tells us a great deal about him, and sometimes tells us more than we are able to learn about him on the job. No person is one kind of individual at work and something entirely different away from the job. He may appear to be different but such apparent differences are usually only superficial. We need to be very skeptical of the employee who appears always to be a right guy on the job but is a heel when he gets away from it. For then, we may be reasonably certain that if given a little authority he will seldom fail to make unhappy those who are unfortunate enough to serve as his subordinates.

Universal perfection in all things is a condition which is clearly unattainable. Nor can we always hope for perfection in the people we select for managerial assignments. But there is no excuse for not doing the best we can under the circumstances. When we, as managers, choose people to be supervisors or administrators, or "executives," the very least we





can do is to select those whom we consider to be the ones best qualified. The ones who rank highest with respect to the basic characteristics that are needed for the job to be done. If we did less than that we would then, ourselves, be evidencing an alarming deficiency. For it is the function of management, the job of the manager, to select and to develop other managers.

In redeeming this important responsibility, we, as managers, cannot afford to ever lose sight of the importance of our own way of operating, of the way we perform our own individual jobs. Should we ever find ourselves developing the attitude that all of the things which go to make up sound management apply to the others, above and below us, but not to us, we need to stop and take a good long look at ourselves. Should we ever find ourselves entertaining the belief, consciously or otherwise, that our people should "do as we say not as we do" we are then guilty of a serious deficiency which should make it very difficult for us to live with ourselves. We need to recognize how wrong we are, we need to face up to the true condition, and to change our ways, rapidly.

#### SOME OF THE BASIC QUALITIES THAT ARE NEEDED

In the following we are listing some of the "basic characteristics" which the successful manager needs to possess. There has been some attempt to arrange these in the order of relative importance. To do this, with any degree of precision, is hardly possible and is not particularly important. But there is some importance attached to the order in which they appear.

The individual possessing all of these characteristics, to the optimum degree, may not have made his appearance as yet. However, it is logical to accept the fact that the more of these characteristics the individual does

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possess the more likely it is that he will enjoy success in the management field. And to conclude, as well, that if he is lacking in too many of these characteristics it would be best, for all concerned, for him to pursue a means of livelihood in some other field. But if he rates reasonably well, lacking in only a few of the less important qualities, there is always a good chance that the ones in which he is deficient will undergo some development.

At least, if we have a reasonably good idea of what his weaknesses are we will know what to expect and will be able to direct attention where attention is needed most. That is just good management. To anticipate what may occur, to take the action appropriate to prevent the occurrence of the undesirable, and to be reasonably well prepared to cope with the inevitable.

Now, let us consider in more detail the things we have been talking about. The basic individual attributes which are needed in order to reach an acceptable level of managerial competency.

#### Ability to Face Issues:

He recognizes issues when they develop, often recognizing them before they become serious, and he deliberately comes face to face with them. Once the issue is recognized he does not spend a great deal of time trying to decide whether or not he ought to do something. He seems to take positive action without consciously thinking that he would be derelict if the condition was disregarded. It is done as naturally as anything else that is routine. With him, it is routine. He may set about the job in his own quiet way but he always gets to it with only the delay that is clearly justified, in the interest of doing a good job.

The apparent lack of positive and timely action is not always a true indication of avoidance of the issue. He may decide to take no action.





Or he may decide not to decide. But he invariably thinks the situation through and comes to a definite decision regardless of what that decision may be. He establishes the condition whereby he is in control.

Sets the Example:

He recognizes the logic of, and applies, the adage "Do as I do." He operates in the way he tells his subordinates to. Whenever he deviates from the prescribed practice he does it as the result of his decision that, under the circumstances, the departure is desirable and proper. He does not deviate just for the purpose of getting away with something or to demonstrate his authority, to prove that as the boss, that he is immune to the restrictions which affect the "rank and file."

He makes certain that the reasons which justified his departure are fully explained to his subordinate force. For he is fully aware that his actions have more effect than any other influence upon his subordinates. He knows that it is impossible for a subordinate force to be loyal to a boss who operates in a manner that is contrary to the instructions of himself and of his superiors.

Willingness and Ability to Delegate:

The individual realizes that some degree of inefficiency is a virtual certainty if he does not completely delegate to his subordinates all of the work functions except the one of overall jurisdiction. He always sees to it that his delegations of responsibility are accompanied by all of the authority that is necessary for the redemption of that responsibility.

Should he determine that it is necessary for him to retain any specific work function, one which should normally be delegated to a subordinate, he attempts to make certain that this represents only a temporary arrange-





ment and the condition is allowed to continue only so long as necessary and feasible. He always respects the assigned responsibilities, and the assigned authority, of individual subordinates and never encroaches upon their prerogatives. The subordinate to whom the delegation is made is treated as the expert and the manager deliberately avoids handling any phase of the work which falls within the subordinate's sphere of operation, unless the subordinate has requested, or obviously needs, some help.

Delegations are complete and are not characterized by any half-way arrangements. The subordinate to whom the responsibility has been assigned is held responsible for his work within the limits of that responsibility. The subordinate is left alone to do his job, for there is full recognition that for the superior to dabble in it will serve only as a disruptive influence with respect to the work itself and will have a disturbing influence upon the employee who has understood that he was the one responsible.

#### Fair Treatment in Both Directions:

He shows no favoritism in his dealings with those whose destinies he governs to no minor degree. His treatment of all conditions is based on impartiality and are not influenced by bias. Under no circumstances does he take any action with undesirable ulterior motives in mind. He is not only willing but desirous that his associates know the nature of his official actions and the reasons behind them. Actions are based on true facts and are designed to promote the interests of the subordinate force and the entire organization.

Disproportionate attention or more favorable consideration is not given to selected subordinates just because he happens to know them better than the others. For he knows that it is his fault if he does not know the rest as well as he should. As the individual employee that he is, he wants fair





treatment from his boss and is a big enough person to admit, to himself and to everyone else, that his people are fully entitled to the same kind of treatment he wants and expects and to which he thinks he is entitled.

Discreet Frankness:

His official actions are characterized by appropriate frankness but at the same time he is desirably discreet. His dealings with subordinates, with superiors, and with others are carried on right out in the open. There is insistence, by example and other effective means, on equal frankness in the relations of his subordinates with him. Their frankness is respected and he never resents any expression representing the subordinate's firm convictions, even though it may constitute rather severe criticism of him or of his way of operating. He demonstrates sufficient intelligence to realize that the great majority of subordinates' complaints represent valuable suggestions which the organization needs and which it cannot afford to try to operate without. Subordinates are rewarded for expressing their views freely and frankly and when there is any evidence of reluctance on their part, to unhesitatingly say what they think, the individual in charge does not blame them but is big enough to know that it is probably his own fault.

Initiative:

He is always concerned with making progress, always attempting to move forward. Not moving himself ahead but aggressively pursuing ways and means of causing the operations of his unit to be increasingly progressive. No matter how acceptable existing conditions may appear to be, they are never looked upon as being in a static state. He does not easily give up and displays the strength of his convictions in everything that he does.





He is always willing, and takes advantage of every opportunity, to take a chance on something new or different if it appears that the organization and the people in it will, as a result, derive some benefit.

Friendliness and Consideration:

He goes out of his way to put his subordinates at ease. He never acts high-hat and by his words and his actions proves to his people that he is sincerely considerate of everyone of them.

He sees to it that he really knows his people as individuals and is not always rushing around and stopping in to see them just long enough to give a quick comment or an instruction, thereby creating the impression that he is a big and important person who just doesn't have the time to hear what his people have to say. He is always available and never plays the game of hard to get. His friendliness is obviously based on true sincerity and is not a surface veneer which is transparent to everyone but him. The real interests of his people are always placed first and the work, as such, occupies second position.

Unselfishness:

He derives real pleasure from the success enjoyed by others and the achievements of individual subordinates represent one of his primary interests. He goes out of his way to help his people obtain advancement, and other assignments which they consider to be more desirable, for he respects their ambitions to the same degree that he expects others to respect his own.

When his unit is the recipient of commendation he makes certain that he occupies a position in the background and that the deserving people get the full credit which they earned. Interest in his personal success is





always secondary and usually appears to be virtually nonexistent. For he understands that subordinate success insures his own success.

Appreciation of the Other Fellow's Viewpoint:

He always does his best to see to it that the other fellow gets the treatment that he wants and deserves. He recognizes that he is incapable of putting himself in the other fellow's place but does his best by becoming familiar with the interests, the desires, the ambitions, and the problems of each person working for him. He recognizes that everyone else is certain to be somewhat different than he is and that fact does not cause him to consider others to be rather unusual or somewhat strange. He recognizes too, that he probably appears a little hard to understand at times in the opinions of others. This need for a reasonable degree of tolerance is recognized and applied and he insists upon the same thing on the part of those he supervises.

Decisiveness:

He always arrives at a decision with reasonable confidence and appropriate dispatch. But he does not hesitate to make a decision even though he knows and readily admits that his decisions are certain to not always be the best. When he determines that immediate and positive action is inappropriate, and it is not infrequent that this is the logical decision to arrive at, he will make that decision and stand by it. Inaction will never be the result of lack of decision. It will be the result of a decision that has been made after the consideration of the pertinent facts.

There exists the full understanding that subordinates with problems are entitled to decisions and they get them. Subordinates are never left holding the bag, never left out on a limb, because of prolonged inaction on the part of the boss.

ARTICLE BY DR. J. H. HARRIS

The first of the three questions which I propose to discuss is the question of the relation of the physician to the patient. This is a question which has been discussed for many years, and it is one which is still being discussed. The second question is the question of the relation of the physician to the community. This is a question which has also been discussed for many years, and it is one which is still being discussed. The third question is the question of the relation of the physician to the state. This is a question which has also been discussed for many years, and it is one which is still being discussed.

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Receptive to the Viewpoints of Others:

The individual is a good listener and is aware that it is not necessary for him to monopolize the conversation to convince others that he is intelligent or that he is a big wheel as well. He obtains and respects the opinions of others but when it is his place to make a decision that decision is his own. He is readily willing to accept others' viewpoints but is equally ready to reject their views when, in his opinion, their acceptance would be inappropriate. When any of his decisions produce unacceptable results he accepts the full responsibility for those results and never arranges, or permits the blame to be directed toward either his subordinates or his superiors.

He knows that his own individual knowledge and capabilities are of negligible consequence in comparison with the collective contributions available within his subordinate force. And he is fully aware that the members of his unit represent the most valuable resource available to him. He understands that it is his job to make full use of that resource. And that there cannot be complete success for him, or for his people, or for the organization, if he permits or requires his people to operate well below their individual capabilities.

Emotional Control:

The individual seldom flies off the handle, and does not rant and rave when things do not go just the way he thinks they should. No matter how depressed he may feel, he does not take it out on his subordinates for he understands that the individual who resorts to such tactics is the one who pays the biggest price in the long run. When the going is the roughest he accepts the responsibility that is properly his, doesn't let the situation get

The first of these is the fact that the history of ideas is not a static discipline. It is a dynamic one, and it is constantly changing. The second is the fact that the history of ideas is not a purely academic discipline. It is a discipline that has a wide range of applications, and it is constantly being used to solve real-world problems. The third is the fact that the history of ideas is not a purely historical discipline. It is a discipline that is constantly being used to understand the present, and it is constantly being used to shape the future.

The fourth is the fact that the history of ideas is not a purely theoretical discipline. It is a discipline that is constantly being used to understand the world, and it is constantly being used to shape the world. The fifth is the fact that the history of ideas is not a purely practical discipline. It is a discipline that is constantly being used to understand the world, and it is constantly being used to shape the world. The sixth is the fact that the history of ideas is not a purely scientific discipline. It is a discipline that is constantly being used to understand the world, and it is constantly being used to shape the world.

The seventh is the fact that the history of ideas is not a purely philosophical discipline. It is a discipline that is constantly being used to understand the world, and it is constantly being used to shape the world. The eighth is the fact that the history of ideas is not a purely literary discipline. It is a discipline that is constantly being used to understand the world, and it is constantly being used to shape the world. The ninth is the fact that the history of ideas is not a purely artistic discipline. It is a discipline that is constantly being used to understand the world, and it is constantly being used to shape the world.



him down and goes all out to offset the disturbing effect the situation may have upon his people. He recognizes that one of his primary responsibilities is to maintain stability, to maintain the best possible morale under the most trying conditions.

Balanced Thoroughness:

He gives freely of his attention and time to the important things. Relative values are recognized in their proper perspective and comparatively unimportant activities do not receive a disproportionate amount of time or attention. He realizes that the point of diminishing returns is a reality in every situation and is ever aware of this fact when apportioning his interests and his efforts. He refuses to ride a hobby or to allow his special interests to dictate his actions.

His areas of limited knowledge and experience are identified and openly admitted and he deliberately sets out to overcome these deficiencies, utilizing the means that are available which often include the obtaining of substantial assistance from the individuals in his work unit. The distribution of his energies and his interests is based on the needs of the organization and not on his personal feelings or his personal limitations.

Firmness:

He is generally considerate to the point of leniency but never allows anyone to put anything over on him, maintaining the degree of control that is commensurate with his official position. A dogmatic or arbitrary attitude is never evidenced unless justified by the situation, unless the best interests of the organization will thereby be served. And then, such an attitude is unhesitatingly displayed. Under such circumstances his decision is firmly but courteously rendered and he makes doubly certain that



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there is no question that he means exactly what he says. He makes his position entirely clear.

Tolerance and Broadmindedness:

There is full recognition of the danger of permitting his special interests and his own personal feelings to influence unduly his mode of operation. He maintains effective control upon his own actions by maintaining a constant awareness of this ever present hazard.

He is fully appreciative of the prevailing variation in individual social standards and knows that his own standards differ in some respects and to some degree, from those of each of his subordinates. The standard he attempts to establish and maintain in relation to the subordinate force is the standard that is set by society, one which may or may not be in complete agreement with his own. He does not discriminate against his people solely by reason of the fact that they think and act somewhat differently than he does.

Awareness of His Own Temperament Deficiencies:

There is full recognition that the temperament and personality traits of no two persons are identical. The individual realizes that no two people may be considered entirely normal in all respects at all times and that he is no exception. He does his best to identify the ways in which he may be somewhat temperamentally "abnormal" and deliberately attempts to prevent those differences from serving as deterrents.

While he realizes that he is not a thoroughly trained psychologist he does understand that certain basic psychological principles must be applied in his dealings with human beings. He understands that a mental disturb-

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ance or impairment is just as real as a physical injury or ailment. That it is something that may very definitely affect the individual's actions and the efficiency with which he performs his work. Whenever there is good reason to believe that one of his people is suffering from more than a minor difficulty involving temperament factors, that fact is promptly recognized and definite action is taken in an attempt to arrange for the principal to receive the needed professional attention.

#### Logical Thinking:

The temptation to conclude and to decide on the basis of intuition alone is at least as great in the administrative field as in any of the others. The administrator cannot arrive at proper conclusions or render logical decisions in the absence of effective analysis of adequate data. He must be able to render a decision with reasonable promptness after proper consideration of the pertinent factual information. He must, at times, be able to make quick decisions. But he must not adhere to the pattern of sacrificing results in the interest of time when the true circumstances that exist do not justify this type of action.

#### Creativeness, Imagination, and Progressiveness:

The competent administrator is never entirely satisfied with things just as they are today. He is not willing to accept routine accomplishment, day in and day out, as the ultimate goal. Mere compliance with all laws and all rules and regulations is wholly inadequate. He must always be looking for new ideas, new and better ways of doing things, which will improve operations in one way or another. He must not only welcome but he must require reasonable change in the full realization that conditions seldom remain forever static. He instills in his people the firm conviction that there is usually a better way and that they are the ones who are best able to





determine how their operations may be improved.

Proper Perspective of the Administrative Function:

The individual who occupies or who initially is entering on an administrative or supervisory assignment needs to clearly understand just what the job entails. He needs to know, without the slightest element of doubt in his mind, that his job is to get other people to do things, that his job is not to do those things himself. He must be fully appreciative of the vast difference between doing one's self and accomplishing the same thing, multiplied a few or manytimes, through the efforts of other people.

Of course, full realization of what the job actually is will probably be most difficult for the individual who has served as a lone worker for some period of time. Actually, it would perhaps be safe to say that every manager was originally a personal performer. That everyone operated as a non-supervisory worker before entering his first supervisory assignment. This means, of course, that in selecting first line supervisors, probably the individual's initial management job, there has been little opportunity to observe performance of the character required in the new position. Even though this condition may appear to be somewhat handicapping, it is readily possible to identify at least some of the needed qualities through observation of the individual while he is operating in a non-supervisory capacity.

Very often, the best prospect is the one who has demonstrated that he is interested in what his co-workers are doing. He is inquisitive as to the overall objectives of the organization, how it is set up, the limits of responsibility and authority of the various bosses, and the reasons behind the organizational arrangement that exists. He is the one who takes over in an emergency and the one to whom other workers at the same level appeal when they are in need of help. He is the one who finds it somewhat difficult to



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concentrate his entire attention upon the specific, and often somewhat limited job that he is working at alone.

### THERE ARE OTHER CONSIDERATIONS

These are some of the characteristics we must look for, actually insist upon, and the ones that must be developed further in those who direct operations, whether those operations be small or large. Of course, there are a number of other qualities which we have not mentioned. You will have no particular difficulty in identifying them by recalling your own experiences, both as a subordinate and as a superior. You will remember the good administrators you worked for. The ones you consider to be about average. And those you would never want to work for again. And you will have no particular difficulty in pinpointing the practices of the good managers, the practices that made them good as well as the practices of the poor ones, the things they did and did not do which makes you consider them to be less than acceptable.

In this job of selecting people to run things it is well for us to never overlook the potency of the force of habit. When anyone does something once a certain way, whether it be the right way or the wrong way, he is taking the first step toward the development of a habit. When he does the same thing the second time the chances are good that he will do it in about the same way and he will have developed the potential habit just that much more.

Applying this same principle to the function of administration it becomes immediately evident that the degree of success of any manager is dependent, in no small measure, upon the way he got started, the way he began to operate and the way he continued to operate from the very beginning. The extent to which he operated improperly at the start and the





duration of the period during which he did those things improperly are important factors in establishing the degree of adjustment that is necessary later on as well as the difficulty of making that adjustment. It would seem to be a very logical conclusion then, that after careful selection of the individual equal care should be exercised in order to make certain that he gets started right. For the initial stages of his development will exert an extreme influence upon the quality of results in the long run.

Complete familiarity with, and careful attention to, the several characteristics which have been listed, and the others you will think of, will do a great deal to elevate the general standard of administration currently existing. Those who are now serving as managers and those who later assume such responsibilities should, in the interest of achieving a satisfying degree of achievement, utilize fully the numerous developmental facilities available to them. The job of individual improvement is a continuing one, for no person engaged in this or any other endeavor ever reached his optimum level of competence by arriving at the conclusion that he had acquired a degree of proficiency not subject to further improvement. We are confident that the results of such efforts will be most gratifying to the individual manager, to his superiors, and most important of all to those over whom he has jurisdiction.

#### MANAGER DEVELOPMENT IS MANAGEMENT'S JOB

Who has the responsibility for selecting people for first line supervisory jobs and for the more responsible administrative positions? Who is responsible for developing all present and potential managers so that they are equipped to perform acceptably in their present assignments and acquire the required proficiency to qualify them for greater responsibilities in the same field? Of course, there is but one answer to both of these





questions. This is the responsibility of management.

Accordingly, the only logical conclusion that can be drawn is that in order to have qualified managers in any organization the management of that organization must be efficient. This statement sounds to be somewhat paradoxical. Possibly this is true but the conclusion may not be successfully contested.

Two other conclusions seem to follow. One is that sound management principles need to be applied by management in its process of manager development. Specifically, a good job of selection must be done. After the selection has been made the individual who was selected must start out properly at the very beginning. And, just as it is the appropriate practice with respect to any other employee, the performance of the new manager must be checked on, must be inspected, with appropriate frequency and thoroughness. And whatever action is required, based on these inspection findings, should be taken in a manner that is, again, in line with good sound management. It may be determined that specific additional training is needed. Possibly the individual is having some difficulty, as most everyone does, in comprehending what the job really amounts to. In realizing that it is no longer his function to do things but to get other folks to do things.

After a reasonable trial it may become evident that the individual selected is incapable of performing satisfactorily in an administrative assignment. If this is the case then again, there is need for the application of good sound management practices. Facing the issue promptly and forthrightly. Reassignment of the individual will often be the proper course of action for the desirable qualifications which caused him to receive favorable consideration in the first place must still exist at least to some degree. But the important thing is that the case be handled promptly and





properly. The management that was responsible for the mistake needs to be competent enough to recognize that infallibility is a very scarce commodity and that admission of that fact is, of itself, a management virtue.

And there is one more logical conclusion that can be drawn. As we mentioned before efficient management is a prerequisite to the selection and development of competent managers. Or, to say it another way, the quality of managerial proficiency that is present reflects the quality of management that is present. Then, in order to have competent management and competent managers below, it is necessary to have efficient management and efficient managers above. This means, of course, that the qualifications of the highest level administrator actually determine, actually govern, the quality of management that is present throughout the entire organization. Where then, if management improvement is needed should the attention necessary to bring this about be directed? Obviously, at the top.

#### THE MANAGER'S RESPONSIBILITY IN WORK PLANNING

Any individual who serves in an administrative capacity has need for not only the attributes which have just been discussed but, in addition, an intimate knowledge of certain well established basic principles of management. Complete familiarity with these principles is essential but familiarity alone is insufficient. Such familiarity must be complemented by the ability to apply those principles, to apply them with effectiveness in the actual work situation.

While each of these principles is segregated, is set apart, as a definite entity for purposes of analysis and consideration, they are all closely integrated and usually interdependent with respect to the several operational circumstances present in any cooperative enterprise. The effective





application of just one principle reduces the probability of a breakdown in the conditions within the scope of influence of the others. Similarly, the lack of appropriate adherence to one principle will, almost certainly, promote substandard conditions in the areas to which the other principles relate. In our discussion we will, primarily to attempt to insure clarity, consider separately each of the primary principles. But the closeness of their relationship, of their interdependency, requires that we frequently refer to the others while considering any particular one in its detailed aspects.

For example, any individual or collective endeavor that is to be reasonably successful requires the making of many decisions before the actual undertaking is started. The magnitude of this preparatory process of decision making is usually directly proportionate to the size and complexity of the operation for which such preparation is being made. The number of people taking part, the cost of the enterprise, the diversity of individual operations, and other similar considerations are typical of the factors determining the difficulty and size of the preparatory job. The efficiency with which this preliminary phase is handled, this planning phase, determines to a substantial extent the degree of ultimate success. For the reason that every organizational undertaking is necessarily preceded by this planning operation, it becomes evident that this represents the first responsibility that the manager is called upon to meet. Accordingly, the various aspects of the work planning operation will be considered in detail in the next section.



UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE- MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 4

CHARACTERISTICS OF THE SUCCESSFUL MANAGER

WORK ASSIGNMENT

1. Describe briefly the basic differences between the jobs of the non-manager and the manager.
2. List four or five of the basic qualities you consider to be most important for a successful manager to possess.
3. Briefly describe the practice you consider to be most appropriate in the selection of first line supervisors from among those employees occupying non-supervisory positions.
4. Briefly describe three actual administrative practices, with which you are familiar, which you consider as highly desirable. For each of the three practices described, cite the basic attribute(s) you believe the responsible administrator possessed which caused him to operate in this manner.
5. Describe at least three actual administrative practices, with which you are familiar, which you consider as most improper. For each of the practices described, cite the basic attribute(s) you believe the responsible administrator lacked which caused him to operate as he did.



PERSONNEL DIVISION

MEMORANDUM FOR THE DIRECTOR

DATE:

TO:

FROM:

SUBJECT:

RE:

REFERENCE:

DETAILS:

ADDITIONAL INFORMATION:

COMMENTS:

REMARKS:

APPROVAL:

SPECIAL AGENT IN CHARGE

DATE:

INITIALS:

IN THIS CASE:

REASON FOR REQUEST:

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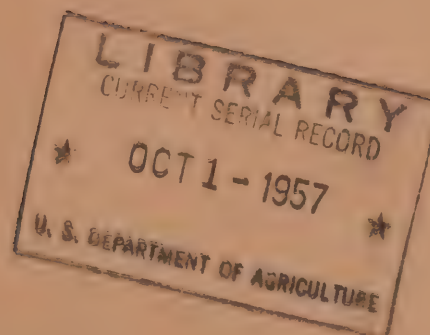




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UNITED STATES DEPARTMENT OF AGRICULTURE  
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CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 5  
DEVELOPING AND USING WORK PLANS

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WASHINGTON, D. C.  
1957



UNITED STATES DEPARTMENT OF AGRICULTURE  
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PERSONNEL DIVISION

CORRESPONDENCE COURSE

IN

MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 5

DEVELOPING AND USING WORK PLANS

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WASHINGTON, D. C.  
1957

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UNITED STATES DEPARTMENT OF AGRICULTURE

AGRICULTURAL MARKETING SERVICE

PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

Section 5 - DEVELOPING AND USING WORK PLANS

A good job of planning the contemplated operations of a work unit by and for those responsible for carrying out that work is one of the most important initial steps in any cooperative undertaking. It is particularly important when a number of people are involved, when individuals and groups of individuals are expected to accomplish certain parts of the total operation. It might be appropriate to say that the greater the number of people and the greater the number of work units the more important it is that the contemplated activities of those units be well planned in advance.

Naturally, work planning is one of the important functions that the manager is responsible for getting done. Of course, he does not do all of the work planning himself but he sees to it that the job is accomplished by his staff, in essentially the same general manner as the staff performs the other operations assigned to it. The function of work planning is so essential that any manager who entertains the belief that his work unit can get by without a well thought out plan of operation is certain to encounter considerable difficulty and is certain to accomplish substantially less.

The manner in which the work planning job is done varies considerably among different organizations. And in those in which this activity receives less than adequate attention the manner in which the operations are carried on seldom follows a uniform pattern. In some organizations good work plans are developed and utilized and as a

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result they effectively serve the purpose for which they were intended. In other organizations work plans are poorly developed and are, obviously, of little value. In some instances reasonably acceptable plans of work are prepared but are not fully used. And then, of course, there is little value received from the planning effort expended. This type of condition probably exists, for the most part, because the work planning job is looked upon as a mandatory requirement of management, rather than as an essential phase of the total management function.

#### THE RELATION OF WORK PLANNING TO WORK EXECUTION

It is, of course, impossible to suggest a uniform standard reflecting the time and effort that is appropriate to devote to the advance effort that is necessary in preparation for carrying on an operation. There are a number of factors which need to be considered in arriving at this determination. The basic measure to be applied, in each instance, is this. "How much planning will pay dividends in the long run?" The benefits to be derived must, at least equal planning costs. But in identifying the probable and certain benefits it must be recognized that there are many more in addition to those reflected merely in the quality or quantity of the end product. There are many more benefits than these. Perhaps they are less tangible but are very real as they exert influence far beyond the limits of the operation of immediate concern.

Generally, the amount of planning time and effort that is justified will vary considerably depending upon the numerous aspects of the particular undertaking. In some situations the preparations that are required to do a good planning job are much greater than the expenditure that is necessary in the actual performance of the operation. For example, let us compare the time and effort and cost that goes into the



planning of an H-bomb test with the actual test itself. Or compare the preparations that are necessary for bisecting a precious gem with the time and effort consumed in actually doing the job. At the other extreme, many routine operations are accomplished, in a wholly satisfactory manner, with virtually no advance preparation. That is, with but little specific preparation that is readily apparent. This is especially true of those tasks which are repetitive, occurring over and over again, and those involving the attention and effort of but one individual.

So it becomes quite apparent that the magnitude of the job of advance planning is determined by the size of the operation, the number of people involved, and all of the other elements contributing to the overall complexity of the job to be done. The investment that is necessary and the values at stake pretty clearly determine the scope of the planning job as well as the justifiable costs.

For any organizational unit to develop a poor unworkable plan of operation is almost a waste of time. To develop a workable one, and then not use it, is almost as unprofitable and, obviously, has no justification whatever. In this last instance it is almost inevitable that there would be some benefits derived from the planning process itself. Whether or not these benefits would be largely offset by failure to use the plan is open to some question. But there is one thing that is not subject to question. And that is that good work planning pays off and is an important and essential feature of sound management. And it is equally certain that the perfunctory handling of the planning function or attempting to operate without an effective plan are conditions which are certain to exert a deterrent effect upon some and possibly most of the other phases of the manager's job.





WHY SHOULD WE SYSTEMATICALLY PLAN OUR WORK?

The systematic and effective planning of an operation or of a group of operations is the first step toward the efficient accomplishment of those operations. In varying degrees, we plan for virtually everything we do in our day to day living. With the help and advice of others, together with proper consideration for our experiences and ambitions, we do some sort of a job of planning our own individual careers. When we buy life insurance or a home, when we invest in securities, and when we make the necessary advance preparations for our annual vacations we do these things in order that we may accomplish certain things that we have decided upon, and so that they will be accomplished in a manner that we have determined to be acceptable. If we did not plan adequately for our vacations it seems certain that some of them would not materialize, and some of them we probably could not afford to take when the time arrived. If we did not make definite plans for some form of regular income during our later years we would be leaving to chance something which most everyone recognizes as being a poor gamble.

We need to plan our work for the same basic reasons that we need to plan the other activities which may or may not be directly connected with our work. In order to accomplish that which we set out to do in such a manner that the best possible results are achieved under the circumstances that exist and can be foreseen.

Basically, work planning is the thinking through, in advance, of those factors which are involved in the operations lying ahead and the recording of the decisions arrived at in order that each step may be accomplished in the proper way, at the proper time, and by the proper

of operations as the first  
step in the development of the  
country.

to the



people.

#### HOW WORK OPERATIONS ARE AFFECTED BY LACK OF PLANNING

There are quite a number of results which may be expected when any enterprise is not properly planned for in advance of the actual carrying out of the operations involved in it. Some of these results are readily apparent and some are not so apparent. We will try to identify several of the conditions which are almost certain to exist when any cooperative undertaking is not thoroughly thought through ahead of time, when the preparatory phase is not given adequate attention.

#### Bottlenecks Will Develop

Individuals will not clearly understand their specific responsibilities for certain phases of the operation and as a result of this absence of understanding there will frequently be insufficient time to get prepared fully to carry out certain activities at the proper time and in the proper manner. When some phases of the work are not done when they should be done the work phases that logically follow, that are to some degree dependent upon preceding operations, will be held up. The logical and most effective sequence will be interrupted. Also, the necessary materials, personnel, and other requirements which cannot be made available or obtained on the spur of the moment will not be available at the required time and at the proper place.

As a consequence, work operations will not only be disrupted but costly delays will occur. The order of events that must, of necessity, take place will be determined by expediency, by that which is necessary to keep some semblance of order and progress even though the results are more costly and less productive.



### Inadequate Preparation

When the people who ultimately find out that they have some degree of responsibility but do not understand clearly sufficiently in advance as to what their responsibilities are, do not have this knowledge in sufficient time to get prepared, they can not be expected to be fully ready to act when the time comes. For example, if certain operations require the services of a sizeable number of people with highly specialized qualifications, it is evident that those responsible for locating these people and lining them up need sufficient advance notice in order to get the staffing job done by the time these services are required. And the same thing is true with respect to the procurement of the necessary materials, equipment, and other similar facilities. Certainly, no manager can expect his people to do a good job of preparation for their respective parts of the total job in the absence of sufficient advance knowledge of what is expected of them.

### Responsibilities Not Clear

There is probably no situation more disrupting nor more disturbing than that of not knowing the nature and extent of the responsibility of each individual. Unless the functions to be performed by each unit and by each individual member of that unit are clearly assigned, sufficiently in advance, there is certain to be question as to who is to do what and when. In the absence of definite assignments of responsibility individual employees, managers and those who are not, are certain to fail to recognize fully and accurately the place they are expected to occupy in the whole scheme of things. Because of this uncertainty it is very probable that individuals will assume that they have responsibilities





which rightfully belong to others.

As a result, the job of coordinating becomes an almost continuous one. And not only that, but coordination becomes more difficult and more time consuming. Much more time will have to be spent on keeping things lined up, on correcting problems after they arise rather than on the less time consuming operation of preventing them from developing in the first place.

#### Poorly Distributed Workload

When the work progresses according to "last minute" decisions, there is much less opportunity to make certain that each participating unit is carrying its proportionate share of the workload. Those units headed by aggressive managers will, in all probability, perform not only their share but in addition will be carrying some of the work that rightfully belongs to the less aggressive ones, to those who are entirely willing to let others go ahead and take the lead. Because of the constant pressure that exists, resulting in the necessity for spur of the moment determinations, the importance of appropriate distribution of the work will tend to be overlooked. The unfavorable effects of this condition, which will show up in a variety of ways, are likely to be of considerable consequence and to some degree are inevitable.

#### Costs Will Be Greater

Because of the necessity for doing things on the basis of expediency there is less opportunity to follow a logical pattern. Less likelihood that work activities will be conducted in the proper sequence, at the time and in the order in which they should be done. Also, there will be less opportunity to take full advantage of conditions which are most





favorable for the carrying out of the individual parts of the total job at the time and under the arrangements which will produce the best results at the lowest cost. It will be more difficult, and often impossible, to take advantage of quantity purchasing in order to keep certain items of expenditure at the most favorable level. It will often be necessary to almost disregard seasonal factors which, in many ways, have bearing upon the costs of various aspects of many operations.

Briefly, any "crash" activity which is not preceded by a well thought-out plan of action is almost certain to result in higher operating costs.

#### Lower Production and Quality

Under these circumstances it often becomes necessary to lower the qualitative standards in the interest of completion of the immediate job. As the planning job itself was done, to the degree that it was done, the results reflected in the work itself are usually similarly characterized. There is always a direct relationship between the quality of the planning operation and the quality of the results achieved in carrying out the actual work program.

Because of inadequate preparation it will sometimes be impossible to carry on to completion some of the major activities at the proper time and with the degree of continuity which is essential to efficiency. Delays will occur. Interim accomplishment objectives will be non-existent or not precisely defined. Standards of production accomplishment and quality of results will be less specific and often not entirely clear to those responsible for meeting them.

As a consequence, it may be necessary to postpone important work until some future time. And not infrequently it will be necessary to



substitute less important work which requires less preparation, less advanced planning. Repeated postponements and last minute substitutes are inclined to produce a backlog accumulation which may never be overcome. And when the end of the work period arrives, when the "inventory of accomplishment" is taken, it will be discovered that important jobs have not yet been started or have been only partially completed. And the sum total of accomplishment during the period will be less than had been hoped for and less than would have been accomplished had there been adequate preparation.

#### Lack of Uniformity in Flow of Work

Good work planning, and the plan of work that represents the result of such efforts takes into account all of the facilities required to do the job, as well as the foreseeable factors which exert influence during the course of performing to operations. The required facilities may include manpower, supervision, supplies, equipment, funds, and the like. The influencing factors may include coordination with related activities, weather conditions, seasonal considerations, organizational policy and practice, precedent and numerous other similar items. The plan makes suitable allowance for peak periods, and for slack periods, as determined on the basis of prior experience. The plan tends to "smooth out" the total operation.

When all of these major conditions are not identified in advance, are not properly considered and provided for in a clear-cut plan of operation, the people engaged in doing the work may find themselves rushed during one period and at other times may find it necessary to spend time looking for things to do to keep them occupied. This undulating situation





produces unfavorable effects in more ways than one. The current work operations are adversely affected. But, and perhaps of still greater importance, the general efficiency of the individual worker is similarly affected with relation to his performance in the future. As the desirable degree of continuity is not maintained the individual will usually find it very difficult to adjust himself, to modify his mode of operation, to conform to the fluctuating conditions that prevail.

### Communications Impaired

When there is failure to develop a clear-cut plan of action before that action is taken, the people participating are deprived of numerous opportunities which are basically essential to their effective performance. They are given less than adequate opportunity to talk the whole thing out, with the right people, beforehand. Organizational objectives, policies, and procedures, which apply to the work to be undertaken, are not reviewed as thoroughly as they should be in order to determine the extent to which they are suitable and the extent to which they are accepted and understood. The people involved will not have the opportunity to express their viewpoints, to make their contributions, to take an active part in the determination of the way in which they will do the things that they will be called upon to do when the time comes.

When there is this lack of specific knowledge, this lack of the privilege of having a voice in framing the pertinent aspects of their own activities, employee reaction will conform to the usual pattern. They will resent being left out of things which they properly consider to be matters of legitimate concern to them. They will become suspicious of management and will wonder what else is being kept from them.





And they will resort to the only means available to them to supply that for which they have need but which was not provided. Speculation, conjecture, and rumor will constitute the bases of their understanding rather than the true and complete facts which no one had made available. As is always true, such a condition will invariably have a deterrent effect upon the efficiency of the individual worker.

#### Less Team Spirit, Lowered Morale, and Inefficiency

No employee enjoys working for an outfit that appears to be uncertain of what it is doing or where it is going. Every member of any organization wants to be able to see what is ahead, what his individual efforts are being directed toward, and to be able to recognize the part that he takes in the total undertaking. Unless he can readily understand what his outfit is "shooting for" the employee is inclined to entertain the view that the organization does not know, for sure, what it expects to accomplish or what it expects of him. He sees the lack of preparation, the lack of common understanding and reacts in a most natural way. He loses interest, has little incentive to do his best and enjoys little of that feeling which is so essential, job satisfaction.

#### There Are Other Results

The circumstances enumerated above represent just a few of the undesirable results which are virtually certain when the work of a unit is not adequately planned sufficiently in advance. We have made no attempt to identify all of them. Under such conditions as these individual workers will, of course, react somewhat differently in some respects. Most certainly, the individual who is least competent will be least affected. But that is the consideration of least importance.

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It is the most competent who lose the most and it is from those that the organization experiences the greatest loss. The most efficient ones will more fully recognize the seriousness of the deficiency. They will be the ones most concerned. And if they are unable to bring about some worthwhile accomplishment in the way of improvement, through their own efforts, they may well conclude that it is futile to try to bring about the degree of improvement that is needed. Their efficiency will be lowered and it will be far from unusual for their services to be lost.

#### THE BENEFITS OF GCCD WORK PLANNING

Now, let us consider what good work planning will accomplish and what benefits any organization may expect to derive from a well thought-out plan of operation. Of course, all who take part in the execution of the work should take part in the planning of their work. All who have certain functions to perform must be made fully familiar with the decisions that are arrived at with respect to those functions. And the overall results will be still better if the people concerned are fully acquainted with the reasons behind the final decisions that are arrived at. Full participation by all is the surest way to create that condition which is so essential to the ultimate accomplishment of the most acceptable end result.

#### Fixes Responsibility and Clarifies Authority

Everyone who is responsible for some phase of the operation knows what he is expected to do and when he is expected to do it. He is not only familiar with his responsibilities but he is familiar, as well, with the extent and character of the responsibilities which are assigned to others. Particularly the responsibilities of those individuals whose





operations have a direct bearing upon his own.

It is usually the case that the several operations of one unit are closely related to, and many times are largely dependent upon, the operations of one or several other work units. Frequently, the unit head has no jurisdiction over these other operations upon which his own are so dependent. When he possesses full knowledge with respect to the responsibility of these others, and with respect to the relationship of their work to his, he is much better able to plan his day to day affairs. He is also able to furnish real assistance in maintaining the state of correlation which is so essential in any such cooperative effort.

Certainly, the actual process of developing a plan of work is one of the very best ways to fix responsibilities definitely and to create clear understanding with respect to the responsibility and authority relationships of all whose work is to some degree integrated. Such conditions are almost inevitable if the planning process is handled properly. For it is necessary for all of the people concerned to get together, to talk things over, and to arrive at conclusions and decisions. Even though they may not be entirely agreeable to all, at least everyone understands what those decisions are and is familiar with the considerations which lead up to them.

In the discussions of the work to be done there is full consideration of existing policies and of existing procedures. And of the structure of the organization of which each one is a part. The sometimes troublesome line-staff situation comes in for consideration for both staff specialists and line officers work together in the formulation





of the arrangements which will be in effect in the course of carrying out the work. The various other organizational features receive attention. Any misunderstanding or previous violations with respect to the chain of command are brought to light. The plan itself makes definite provision for meeting the all important control function.

All in all, there is probably no other single administrative activity which deals more completely with all phases of the overall management function than the process of developing plans of work. The directional phase through the consideration of policy and practice. The coordination phase through the development of a common understanding with respect to the future course of action of each individual and each unit. The control phase for the reason that the work plan itself makes definite provision for it. Actually, the degree of efficiency that exists within the total management area is fairly well established by the degree of acceptability of the planning phase.

#### Effective Utilization of Staff and Other Facilities

The necessary time and attention are given to the determination of personnel requirements for the jobs to be accomplished. There is time to select, with care, the people who are best qualified to perform each phase of the work. But probably one of the greatest benefits comes from the intimate knowledge about individual employees that is accumulated in the course of developing the work plan itself. There is ample opportunity to observe the attitude as well as the contributions of each employee who takes part. The information thus obtained is not limited to that relating to the employee's familiarity with his job. His knowledge of the organization, of the overall objectives, and the



feasibility of the suggestions he offers represent some of the more important kinds of information that are of real benefit in the placement of people where their capabilities may be utilized most effectively.

Another advantage of real value is in the form of suggestions and other contributions offered by the members of the subordinate force. If there is full participation and no reticence on their part to express their views freely the ultimate end product will be of much greater value than it would be if one or a few administrative officials undertook to do the total job with only their own relatively limited resources.

Similarly, the job requirements with respect to supplies and equipment and other similar facilities are identified. The extent to which these requirements are already available is determined and their assignments to the several operations are definitely scheduled for the time when they are needed. The need for additional facilities not currently available is also determined. Decisions are arrived at with respect to the extent to which such things will be procured and positive steps to effect such procurement are initiated, or are scheduled for initiation sufficiently in advance to assure their availability when they are needed on the job.

#### Better Distribution of Workload

The workload of each organizational unit for the entire period covered by the plan of work is appropriately distributed so that both overloads and underloads are avoided or are minimized to the extent possible under the anticipated circumstances that will then exist. Those portions of the work plan period which are historically peaks or valleys, with respect to work volume by reason of seasonal and other similar factors,





are recognized and adequate provision is made for appropriate compensation in one direction or the other. Possible slack periods are utilized to catch up on lower priority work as well as to get ready for the pressure periods that follow. In brief, the work plan is deliberately designed in such a way as to level off the work that is scheduled. So that too much is not expected of some units and individuals and too little of others. And so that an impossible work volume will not be called for during one period and a less than full schedule during another.

#### The More Difficult Problem Areas are Identified

Effective advance work planning provides the opportunity to identify those phases of the operation which are the most difficult, those which require the most attention. Once these determinations have been made, as to the relative difficulty of individual jobs, the effort and attention of the people concerned about them can be appropriately and effectively apportioned. In this way, there may be reasonable assurance that relatively unimportant problems will not receive unjustified attention, at the expense of those which offer much greater resistance to solution. And there will be the further assurance that the most difficult situations will not be overlooked, will be brought out into the open sufficiently early to permit them to receive whatever attention they need, at the right time, to prevent chaos when the time comes to carry on those particular segments of the program.

#### Logical Work Priorities

In most every undertaking there are one or several operations which are clearly more important than the others. And there are some which are of comparatively less importance. And there are still others which,

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by comparison, are relatively unimportant, even though they may be desirable. Quite often, the ones that are the least important are the ones that are easier to do. Or they may be more interesting or require less preparation and effort. Naturally, there is usually a strong tendency to do the easy jobs first and to put off doing the more difficult ones even though the latter may be recognized as being of equal or greater importance.

A realistic plan of work insures the determination of the relative priorities, from the standpoint of importance, of the work that is to be done. There is the opportunity for assurance that the most important jobs will be set up for doing in advance of those that are of less importance. And the least important ones will be scheduled later or will be used as "fill-ins." Or possibly they may be postponed until a later time when a lighter workload will permit them to be included. In essence a logical work plan provides reasonable assurance of the doing of first jobs first.

#### Permits Advance Preparation

The requirements for doing the work that is to be done are identified sufficiently in advance of the need for these requirements. There is sufficient time to analyze the work need, to decide upon what will be provided, to procure, to definitely schedule, and to otherwise prepare for what is needed when it is needed.

The necessity for hurried, last minute preparations will be substantially reduced or largely eliminated. "Emergency" situations, and their inherent inefficiencies, may be avoided to a considerable degree. As a matter of fact, a great percentage of the so-called "emergencies"



exist only by reason of the absence of adequate advance planning, the absence of real effort to foresee the foreseeable.

It seems to be entirely safe to make the observation, with but little probability of challenge, that other than a negligible number of organizations appear to be rather continuously operating under what are described as emergency conditions. It seems equally proper to conclude that such conditions are, for the most part, due to the absence of effective advance planning. When such a condition exists long enough, these "emergencies" tend to become routine. The people who are involved in them tend to start taking such conditions for granted, in fact rather expect that this is the way things will always be and might be a little disappointed if the situation underwent radical change. However, this is a mighty costly operation because when it does exist the people involved may become inclined not to get very concerned about anything and when a real justified emergency does arise it may not be recognized for what it actually is.

#### Reduces Bottlenecks, Overloads and Underloads

In essence, a good work plan is a stabilizing device which synchronizes the work to be done and makes definite provision for the doing of that work at the time it should be done and with the facilities that are required for doing it. All of the time that is available during the work plan period is accounted for in one way or another. All available and necessary facilities are provided for. Work requiring time or facilities which are not available or are not obtainable is not scheduled.

The workload is properly distributed over the period covered by the plan. Everyone has been assigned his part of the total job and the



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question of who is responsible for what and when is resolved, completely and beforehand. With competent management, which will insure appropriate adherence to the plan, the work does not pile up, it does not slack off, and it does not come to a stand still because someone did not know what was expected of him.

#### A Morale Builder

All members of the organization have a clear understanding of the objectives of the organization. They consider the undertaking to be a cooperative one for each has a definite assigned part and each took an active part in determining what he and others would do to reach the mutual objective.

Each one considers it to be his job, his responsibility, to carry out his assignment. For he knows what he is supposed to do, when and how he is supposed to do it, and to whom he looks whenever he needs help in redeeming the responsibilities which were assigned to him. The whole operation is viewed as a collective project which was based on full consideration of the views of all, for everyone was "in on it." Each one was not only in on the actual doing of the work but he was an active participant in determining beforehand who would do what and when and how. Every member of the organization is a full participant, not one who was given a job to do with no opportunity to have a voice in the formative stages which precede his receipt of the work assignment. Every one is a full participant, not just one of the machines that operates only when someone else decides, right at the time, that it should be turned on.





Many Other Benefits - Less Apparent But Substantial

In the course of developing any plan of work, and in utilizing that plan in carrying on the work to which it relates, virtually every element in the management function is involved. The exchange of ideas and the process of arriving at conclusions, together with decisions, necessitates a state of inter-communication that is clear and complete. Organizational relationships must receive full consideration and any areas of uncertainty are certain to make their appearance and it is equally certain that they will be clarified, at least to some degree.

Prescribed policy and practice are inevitably subjected to almost continuous scrutiny and if they are in any way deficient it is almost certain that these deficiencies will come to light. Through the work planning process which necessitates the periodic review of policy and practice there develops a clearer understanding about them as well as a fuller realization of their logic, the justification for them, and the benefits to be gained by everyone from adherence to them.

The very nature of the planning process exerts a strong coordinative influence. The people who need to know what is planned for the future, do know. The people who need to know the nature and extent of their individual responsibilities, do know. The right people are made familiar with the extent of their individual authority as well as the authority relationships with respect to others, not only in their own chain of command but with relation to those other individuals with some degree of official interest and responsibility for the work.

The process results in the bringing together of people with mutual interests, and interdependent responsibilities who might otherwise be compelled, or at least inclined, to operate in a largely independent



manner with the unfortunate consequences which are inherent in such a situation. An appreciable degree of control is accomplished, for past practices and prior accomplishments as well as current conditions are clearly revealed and taken into consideration. Personality conflicts, which are seldom entirely absent, will be brought out into the open. And they are usually benefited to some extent if for no other reason than by providing the opportunity to talk things out. To arrive at a common understanding which is, after all, so frequently the basic cause for much of our misunderstanding.

The suitability of established standards is subjected to close scrutiny. It may be determined that certain standards are unrealistic, too high or too low, to produce the results that are called for. Or the standards may not be uniformly understood or interpreted. And there is always the possibility that it may be discovered that certain required standards have not even been prescribed.

Furthermore, there is a great deal of benefit to be gained from placing adjacent administrative levels in the close working relationship that is required in the development of the plan of work. And by placing the ultimate responsibility where it properly belongs.

Normally, it is an acceptable way of doing things to place the responsibility for work plan preparation upon the manager who is responsible for getting the work done. Of course, in doing the planning job he delegates most of the task to appropriate subordinates. After the plan has been put into a form that is acceptable to him, the manager customarily goes on record as approving it in its entirety. It is then the customary practice for the approved unit work plan to be presented to the next





higher administrative level for consideration. At that point it may be necessary to effect some modification but, in any event, the plan of work for the unit is ultimately accorded final approval by the administrative official in charge of the next higher administrative level or possibly by an official superior to him. At any rate, the level at which final responsibility is granted is commensurate with the responsibilities and authority conferred by the administrative policy of the organization. And under no circumstances is the manager of the unit responsible for doing the work, or the individual members of that unit, ever left in any degree of doubt as to the approval status of the program of work which was initiated by them.

It behooves every manager to recognize the advantages to be gained from good work planning and from utilizing, fully and in the proper ways, the plans of work that are developed by his staff under his guidance. Any manager will find that this practice will eliminate many of the problems with which he would otherwise be confronted in the course of his day to day business. The wise and efficient manager will see to it that the effective development and the full utilization of good plans of work for his unit represent a firmly established policy, represent a routine practice, within the segment of the organization for which that manager is responsible.

#### DEVELOPING THE WORK PLAN

There are good work plans and poor work plans. There are good plans that do not provide any great amount of benefit principally for the reason that the planning job is looked upon as an entity unto itself. Just like any other phase of any job the good plans are the ones which are





created as the result of appropriate thought and effort. Those that are effective are developed according to certain basic principles. And the results, the plan itself, reflect certain basic characteristics. In the following we will attempt to bring out some of the desirable features of the process of work planning as well as some of the features which characterize the type of plan that will prove to be a helpful management instrument.

#### The Plan Is Clear-cut and Concise

Its provisions are adequate to prove to be of real help in the doing of the work for which it is designed. But it is not so detailed as to be a cumbersome tool with which to work. Naturally, only those who will ultimately perform the work are able to determine with reasonable accuracy that which should be included and that which should not. Its content should be based on the relevant facts relating to the work and should not be influenced by what the developer thinks might sound good to the boss.

Obviously, there are a number of pitfalls which must be recognized and deliberately avoided in not only developing the plan but in using it. Planning just for the sake of planning alone pays no dividends. While developing any plan the purpose it is to serve should represent the guiding influence with relation to all of the various aspects of the job. The plan reflects the contemplated method of operation by means of which the results that are desired will be effectively achieved. The plan is the means to the end. It is not the end in itself. Any plan that is too detailed, too general, or is not designed for the primary purpose of serving as a helpful working tool is frequently of comparatively little value.



The Plan Is Sufficiently Flexible

The provisions of a work plan represent the best collective judgment of those developing it as of the time of development. They foresee, as best they can, the work requirements which are already present as well as those which they anticipate will develop. In spite of the very best efforts of everyone the forecasts that are made will seldom if ever prove to be infallible. It is a normal situation in which there are frequently certain subsequent developments, many of which could not be foreseen, which make it logical, as the operating period progresses, to depart from the course of action as originally decided upon. Such logical departures should always be followed as soon as they are recognized. The fact that they come into existence is not, of itself, an indication of ineffectiveness of the original plan. To recognize the need for change and to make the changes that are needed are actions that are proper and logical. For it is not humanly possible to predict the future of any work operation with positive accuracy, just as it is not possible to maintain absolute control over the many other things that will occur in the future.

Howe ver, when it becomes evident that operations should be carried on somewhat differently than the manner prescribed by the plan, the plan should be revised accordingly. But major changes in operation should follow corresponding revision of the plan, those changes should not precede modification of the plan. For it is only in this way that the plan may be kept current. And it is in this way that those who do the work may have their actions supported by documentations which reflect the decisions of those with proper authority.





Provisions Are General for the Distant Future and Specific for the Near Future

It is, of course, very evident to all of us that anything that is distant, in time or in space, is much less clear, much more obscure than that which is immediately before us. It is much more difficult to predict, with any degree of accuracy, the weather conditions as they will be a year from tomorrow than it is to forecast tomorrow's weather. When we plan a thousand mile motor trip we can decide, before we leave that the first fifty miles or so will be over a certain route. But we seldom can decide, before we leave, on the specific route of travel for the last hundred miles which will be traveled several days hence.

This same principle applies to planning work that is to be carried on some months or years later. The work plan should be relatively specific for the present and for the immediate future. But it should become increasingly general, increasingly less specific, for the distant future periods. It will, of a certainty, be much more subject to change as the period of time between the initial planning and the execution of the work becomes longer. The plan should be designed with that certainty in mind.

The soundness of this view has been forcibly demonstrated in a number of actual conditions which we vividly recall. In each of these instances the attempt was made to foresee and to prescribe, the specific jobs that the work unit, and in some instances the individual employee, would perform on each day many months hence. The impossibility of predicting with accuracy and in detail so far ahead soon became very evident. The proponents of the idea were most reluctant to admit





that they were wrong and, for a time, the undesirable consequences were of rather serious proportions. Repetition of this experience resulted, in the long run, in appropriate modification of the practice but not until after considerable damage had been done. Such a situation may tend to develop particularly in newly formed organizations and in those that are just beginning the practice of developing the more formalized type of work plan. This is a real danger which the inexperienced manager needs to recognize and to guard against. For a single failure such as this may jeopardize the whole system. Those who are involved may erroneously conclude that the practice of work planning may not be worthwhile even though such a conclusion may be based on failures in the application of the system rather than in the system itself.

#### Time Limits or Target Dates for the Completion of Specific Phases of the Job

Of course, it is readily possible to decide, with remarkable accuracy, that we will accomplish certain things today, and tomorrow, and possibly even during the next week. We are less able to determine with reasonable accuracy the stage of completion of any job six months or a year from now. But it is logical to establish reasonable accomplishment goals, that are general in nature, for some definite time in the distant future. Nevertheless, in order that there may be a reasonable assurance that these future goals will be achieved it is always helpful to set interim or intermediate objectives for certain logical segments of the total operation.

Accordingly it is advisable to plan, and to make definite provision in the plan of work, for certain degrees of accomplishment at stated



intervals during the entire period covered by the plan. Naturally, in deciding on these interim target dates the sequence in which the operation is to be carried on will be taken into consideration. It is important to do this in order that some degree of control, with respect to rate of progress, may be maintained. Control is accomplished in the customary way. By comparing the extent of accomplishment at the end of each predetermined period with the accomplishment which was originally scheduled for completion at those times.

#### Definitely Fixes Responsibility of Units and of Individuals

Each person who takes an active part in any cooperative undertaking needs to know what his individual responsibilities are and he needs to have fairly intimate knowledge, as well, of the responsibilities of the others who are responsible for certain parts of the overall job. In most any work unit some degree of interdependency of effort is nearly always present. And any major failure on the part of any one individual may create a far reaching and disruptive effect. The possibility of such failures may be avoided, to a very substantial degree, by making certain that the operational plan clearly prescribes the responsibilities of every individual and of every unit that is scheduled to take part in the work.

If there is any degree of vagueness as to what each person is supposed to do and if the responsibilities of those engaged in related work are unknown the activities are certain to suffer. There will be duplication of effort. There will be work that is not done at all or is not done at the right time. The individual workers will be confused and a considerable amount of time will be devoted to trying to determine, on their own, as





to who is supposed to do what. This condition, which can be overcome to a great extent, by good work planning, is one of the surest ways of creating friction among the working force.

The Plan is Realistic and Objectives are Attainable

It is highly probable that work plans prescribing the accomplishment of the impossible have done more to discourage systematic work planning than any other single factor. A work plan that is not realistic in this respect is a working deterrent, not a working tool. The disadvantages produced by it are far greater than the time that is wasted in preparation.

Every manager has the real responsibility for seeing to it that the work plans of his unit are logical and feasible. That they are developed and utilized with the view of achieving that which is achievable and in this respect are ambitious but are not ridiculous.

It might be well to mention, right at this point, the ever-present hazard with relation to the later inclusion of additional work. It is very evident that it is feasible to plan to do all of the work that is possible of accomplishment, by means of the staff and other facilities available, in the best judgment of those who make this decision. Of course, the tendency usually will be to include just a little too much rather than too little. This may not be an undesirable thing to do. However, it is the normal situation in which additional activities and projects show up during the course of the period covered by the work plan. Activities which are entirely new or which were overlooked at the time the plan was prepared. Very often these are must jobs, things which just have to be done, things that may not be delayed a bit longer. When this condition develops there is the very strong tendency to blithely proceed





with the doing of this new work without thought as to the effect upon the work that was originally planned. If the people responsible question the action the boss often tries to convince them that they will be able to "sandwich it in somewhere."

The principle involved seems to be a rather simple one. And that is that a work plan has very definite capacity limitations. When something else is added which overflows beyond these limitations the inevitable must occur. When something is added to that which is already full something must be taken away to make room for that which is added. That which is taken away from an already full work program, to make room for other unscheduled work, may be in the form of certain jobs or projects or activities. Or it may be in the form of lowered standards. In any event, whenever something is added to an already full program of work a comparable reduction must be made, in one form or another, to make room for the addition. The adjustment that is decided upon should be made in the work plan. It should be formally revised so that it currently reflects the true condition.

#### The Plan is Arranged in Logical Form

There is no one best way to develop a work plan that will be most effective in all situations. Neither is there one design or pattern which the finished product in each instance should closely resemble.

The important considerations are that the plan content is based on logical and thorough thinking, that its objectives are realistic, that it is detailed where it should be and general where it should be and that it is a workable and beneficial tool for those who are responsible for the accomplishment of the operations under consideration. The prescribing

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of a precise form or format should be avoided to the fullest extent practicable. Preferably, work plan specifications should consist only of the basic essentials that are necessary to insure the inclusion of the required data in a readily understandable and workable form. There should be ample opportunity for individual discretion in the development of the plan itself. Too restrictive control in this respect should be avoided for it may result in the development of the attitude that work planning is a "requirement." That it is necessary to do it only for the purpose of meeting a regulation. There will then be the inclination to fail to recognize that it is the first logical step in getting the job done efficiently.

Of course, in those instances in which the end product, the finally approved work plan, reflects the integrated decisions of several administrative levels or a number of closely coordinated work units, it may be necessary to impose a greater degree of standardization. But even then it is best to sacrifice some uniformity in the interest of getting a good planning job done. In getting a plan that will be accepted and used,

Provides for "Follow-through"

A really effective plan of work always makes adequate provision for periodic progress evaluation. While the control function is one of the major aspects of every manager's job, the scheduling of some of the control activities by incorporating them in work plans will prove to be helpful. And such control activities should be included inasmuch as this is as much a part of the job as the actual performing of the work itself.

The evaluation of work operations is normally accomplished by means





of the inspection and reporting system which is in effect in the organization. The process involves the comparison of that which has been accomplished with that which was scheduled for accomplishment as of that time. Such interim evaluations are as logical as the setting of interim target dates. For it would be much less than fully effective to establish target dates and then proceed to pay little attention to them until the end of the work plan period.

Such interim evaluations serve a number of valuable purposes. As is true with respect to any other policy or procedure the mere prescribing of it does not, of itself, provide reasonable assurance that the degree of adherence to that which is prescribed will be fully acceptable. It is necessary to look into the operation, at intervals, to determine if it is going "according to plan." By inspecting the program of work at reasonable intervals it is possible to discover departures shortly after they occur, before they produce effects which are lasting and costly. And when these deviations are discovered it is more readily possible to make the adjustments that are required so that current operations are in conformity with the plan and to reduce the possibility of lack of adherence in the future.

Of course, it is not wholly adequate to merely specify in the work plan that these periodical check-ups will be made. It is equally important to specify who will perform these inspections. To assign this responsibility to individuals so that there exists no question concerning responsibility for carrying out this important feature of the job.

#### Carry-over Work is Included

It is the normal practice to develop a plan of work for a specific





major project or for all of the activities to be undertaken by the organizational unit during a specified period of time. Usually, it is advisable to develop a new plan of work, for the ensuing period, shortly before the expiration of the current work plan period. For any number of reasons it is the normal condition for some of the work that was originally included in the current plan to be in an unfinished state at the end of the period. Naturally, all such unfinished business should be considered in the development of the new plan. Possibly some of this work was not even begun while other activities may be in various stages of completion as of the end of the period. The work that was previously planned but not started may be included in the new plan or by reason of its relative importance may be still further postponed. The work that was begun and is still continuing has to be provided for if it is to be carried on without interruption from one planning period to the next. But the important consideration is that all uncompleted work that was included in the current plan is taken into account in the development of the new one, and is positively disposed of in some manner.

#### USING THE WORK PLAN

The actual development of the work plan is the first important step in getting the total job done. But the doing of the planning job is, of itself, of comparatively little consequence standing alone. The next important step is the use of the plan that was developed, its proper and full use. A plan that is not used, or is not used properly, is not serving the useful purpose for which it was designed. Then, the time and effort expended in the planning process will be virtually wasted. But this loss is, by comparison, of negligible concern. The manner in which the various



operations are actually carried out, without the benefit of this advance planning, represents a situation justifying a great deal of concern.

To develop a plan of work and then to proceed to operate without appropriate regard for the provisions of that plan is not dissimilar to the practice of disregarding any other established policy. The mere existence of the plan does not insure its use. The responsible manager needs to maintain control over this aspect of his job just as he would in any other similar situation. However, there are a number of things that can and should be done to make reasonably certain that current plans of work are fully effective, are serving a real purpose.

#### The Plan is Readily Accessible

The plan must be readily available to every individual having some responsibility for the execution of the work covered by it. A plan that is placed in a file with routine reports and correspondence can hardly be considered as readily available. And the chances are very good that it will not be used as completely as it should be. The plan should be looked upon as an active document that remains current throughout its entire life. It is subject to frequent use during the entire period that it covers. It should be used extensively for the planning of current work, from day to day and from week to week. It should be used to insure adequate preparation for those phases of the operation which require attention considerably in advance of their beginning. And as the plan indicates when and by whom periodic checks or evaluations will be made these provisions need to be considered in working out individual assignments. In deciding, sufficiently ahead of time, the current operating details in order that the jobs that were scheduled to be done will be done at the





time agreed upon and by the people to whom such assignments have been made.

#### Make Appropriate Changes

It would be far from logical to develop a program of work considerably in advance and then expect to be able to operate in strict accordance with that plan without due regard for current conditions and those which may be more accurately predicted as the execution phase approaches. The plan always is the means to an end and is never the end in itself. Because of changing conditions, unforeseeable developments, and inaccuracies in judgment at the time the plan was prepared, it is almost inevitable that in some respects it will be feasible to perform the operations in a manner that is not in complete agreement with the provisions of the original plan.

The important thing is to recognize the desirability of operational change when the need for such change becomes apparent. However, the decision to make the change should be arrived at only after properly clearing with all those individuals who will be affected by the change. Then, after the decision to make the change has been made it is important to modify the plan before changing the operation. There must be insistence upon desirable operational revision but there must be equal insistence that plan changes precede action changes. Otherwise, in the absence of proper and timely documentation current activities will not conform to the provisions of the current plan. As a consequence, there will be the natural tendency for the plan to fall into discard, and for the people involved to carry on their operations without due regard for original objectives and without sufficient concern for the effects of their





actions upon the related and possibly dependent activities of others.

Under such a condition many of the real benefits of the considered thinking that went into the original decisions, as reflected by the work plan, will be lost.

#### Including Additional Work

Usually, a plan of work makes full provision for the utilization of all the manpower and possibly all of the other facilities available. As the work period progresses, however, it is not unusual for it to become necessary to take on additional work, work for which no provision was originally made. Such additional activities are usually those that could not be foreseen or possibly were overlooked. Often they are the types of jobs that must be done right now. Because of the urgent nature of such activities, the relatively high priority assigned to them, they may not be postponed for any great length of time and everyone agrees that it is necessary to include them in the current program.

But there is usually little, if any, "unallotted" time available for this new work or for any other work for which no definite provision was made. It is evident then, that this addition to an already full load will produce an overload. That it is not only impracticable but actually impossible for something to be added to that which is already at full capacity without making a corresponding reduction in one way or another. The reduction that is necessary to make way for the new work usually is accomplished by the dropping of scheduled work which is of relatively less importance. Of course, a suitable condition may be created in other ways. For example, by the lowering of quantitative or qualitative standards.



But the important thing is that definite action be taken to make room for the additional work that is added. This represents a danger area which the manager must constantly guard against. He needs to be fully aware that the addition of any unanticipated activity, which was not provided for originally without appropriate reduction in one form or another, is almost certain to create a situation having many undesirable aspects.

### DOING THE PLANNING JOB

For the average manager it is a big job to get at the job of developing a plan of work. It is not only difficult to get the job started but to keep it going in such a way that a wholly acceptable end product will result. There is always the natural tendency to want to get started on the work, to start doing something before fully considering all of the preliminary things needing consideration in order that the work may be carried on in a manner that will insure orderliness and efficiency.

In order to provide some help in this respect, the following are two concise check lists which may be of some assistance in the process of work plan development.

### TIPS FOR PREPARING A PLAN OF WORK

#### Get Fully Prepared to do a Good Job

- 1 Develop a clear and complete picture of the work to be carried on.
- 2 Decide upon clear-cut objectives that are attainable.
- 3 Decide on who should help prepare the plan and what each is to do.
- 4 Be sure each participant knows what he is supposed to do.





Get Started Right and Far Enough Ahead

- 1 Schedule sufficient time, but not too much, to do a good job.
- 2 Explain the objectives of the planning job to everyone.
- 3 Make certain that the planning assignments are clear and are understood.
- 4 Have all of the necessary basic information on hand.

Have the Operation Well Organized

- 1 Assign each part of the job to someone.
- 2 Set reasonable time limits and stick to them.
- 3 Properly distribute the planning job; specify logical time limits for each major phase of the activities being planned.
- 4 Emphasize thoroughness and completeness but avoid unnecessary detail.
- 5 Make provision for necessary changes later on.
- 6 Limit the detailed phase to the foreseeable period only.

Put the Plan in Shape for Use

- 1 Be sure the plan is complete but realistic and workably concise.
- 2 Get it accepted by all who contributed.
- 3 Stop when the job is done. Don't drag it out.
- 4 Be sure to get the necessary bosses to approve it.
- 5 Distribute copies right away to all who will use the plan.

CHARACTERISTICS OF A GOOD WORK PLAN

It 's a Cooperative Job

- 1 All those responsible for the work helped develop the plan.
- 2 The plan properly distributes the workload.
- 3 The plan is available to all with responsibility for the work





activities it covers.

4 The responsibilities of units and individual employees are definitely fixed.

5 All who are concerned take part in changes that are decided upon later.

Provisions of the Plan are Concise and Clear-cut

- 1 Objectives are appropriate, realistic, and clearly stated.
- 2 The operational steps are arranged in proper sequence.
- 3 No major elements are omitted.
- 4 No unnecessary details are included.

The Plan is Realistic

- 1 The prescribed objectives are reasonably attainable.
- 2 The long range features are general.
- 3 Short range operations are specific.
- 4 Practical time limits or target dates are specified.
- 5 The form of the plan is based on effectiveness, not artistry.

It Effectively Serves its Purpose

- 1 There is definite provision for departure from the plan when justified by actual conditions.
- 2 The plan is kept current, up-to-date.
- 3 It identifies the most difficult problem areas and the relative priority of individual jobs.
- 4 The plan is fully utilized and it serves as a real aid in getting the work done.

A WORK PLAN IS ALWAYS A MEANS TO AN END -- NOT THE END IN ITSELF.



GOOD ORGANIZATION IS ESSENTIAL

Just as it is necessary to have the work planning job well organized, the carrying out of the operations according to the plan decided upon calls for the effective organization of those operations. As a matter of fact, most of the manager's problems have their origin in either or both of two readily distinguishable areas, faulty organization and sub-standard operating practices. In these two areas, organization and practice, there exists a considerable degree of interrelationship. That is, the practices that are followed in any organization are influenced, to a considerable degree, by the character of the organizational structure.

In the process of designing the structure of the organization, which is one of the manager's responsibilities, there are several basic principles of organization which may not be disregarded with success. The lack of appropriate regard for one or more of these basic principles is, with substantial frequency, the cause of some of the more serious problems confronting the average manager. Obviously, complete familiarity with these principles, the ability to apply them with effectiveness, and a clear understanding of the consequences characterizing their violation are essential elements in the repertoire of the management official. These principles and the significance of each one to the over-all management function is the next area we will consider.





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Section 5 - DEVELOPING AND USING WORK PLANS

WORK ASSIGNMENT

- 1 Briefly explain at least five undesirable circumstances that are almost certain to exist when the operations of a unit are not adequately planned.
- 2 Briefly explain at least five of the major benefits to be derived from the development and utilization of effective plans of work.
- 3 In your opinion, which members of the organization should take part in work plan development? Explain why you think as you do.
- 4 Describe the steps you would follow in the development of an annual plan of work for a unit responsible for carrying on five major activities, all of which are closely related.
- 5 Briefly describe the basic steps that are necessary to insure the effective utilization of the plan of work referred to in item four (4) above, in carrying out the work covered by that plan.
- 6 Enumerate several of the basic administrative elements that are inherent in and desirably influenced by the processes of work plan development and utilization.









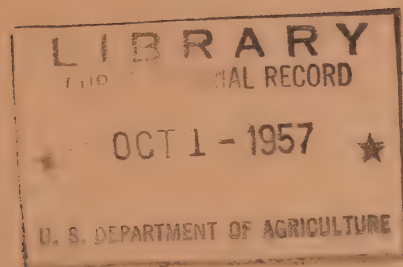




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SECTION 6 - BASIC REQUIREMENTS IN ORGANIZING

Every manager has some facilities available with which to carry out the functions for which he is responsible. These facilities may or may not be adequate. Normally, they include working space, equipment, materials, policies and other instructions, and people. The real job of the manager is to utilize these facilities in such a manner that the operations are carried out in the most economical and effective way. The responsible individual must guard against the practice of giving too little of his attention to one and too much attention to others. He should not be oversupplied with one and have too little of another. These facilities need to be used so that a state of balance is maintained. Each one is a cog in the whole machine. To insure a quiet running machine the cogs must mesh.

The putting together of these facilities in such a way as to bring about the efficient attainment of the desired end result is accomplished through organization. It is the manager's job to organize his operations and to keep them organized. He is constantly faced with organizing problems. The work situation is ever changing. The services of some people are lost and new people are added. New and different work is undertaken. Seasonal and other similar influences have definite effects upon the things to be done, when they will be done and how they will be done. The manager meets these changes through the organizing process. Also, he is constantly reorganizing, to some degree, in an effort to bring about improvements in routine operations.





As a result of the organizing process, the organizational framework comes into being. It prescribes the work that the various units will perform, which people make up the various work units, how many administrative levels there will be, how the various work operations will be grouped into individual segments, and reflects the working relationships that are to exist between these segments as well as between the various levels of authority.

In the organizing process, it is possible to produce an end result, a structure, which may be expected to operate smoothly only when certain fundamental principles are taken into consideration and are applied. These principles need to be considered and applied during the initial organizing process, right at the very start of any operation. Actually, the job of organizing represents the very first step. It is the job that has to be done before the work itself is begun. And the necessity for giving appropriate attention to these basic principles is present throughout the entire life of the operation. For it is not unusual to learn that the form of organization set up at the beginning may be improved upon as experience is gained while actually operating in accordance with the provisions of the organization plan.

It becomes very evident then, that every manager, every administrator, and every supervisor must be familiar with these basic principles. To be successful he must not only possess this knowledge but he must be able to apply it effectively. He must be able to recognize that to disregard these principles during the organizing process is virtually certain to result in difficulty for him and for the people he directs and, of course, the greater the degree of lack of adherence to these principles the more serious the difficulty will be. The manager must be so familiar with these principles and so aware of the importance of appropriate adherence to them that the presence or absence of the needed degree of adherence will be immediately

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obvious to him. Whenever an operating deficiency is revealed or a problem situation develops, he looks for the basic cause, he looks for the violation of basic principle which created the situation. And possibly of even greater importance, he sees to it that this same standard of competency is established for his subordinate managers and assures himself that his people meet this standard.

### THE BASIC PRINCIPLES OF ORGANIZATION

Some of these basic principles, the ones that are considered to be of the greatest importance, will be identified in the material that follows. Each such principle will be discussed in sufficient detail to point up the consequences of effective application. And a number of cases of violation will be described in order that the results, under such circumstances, may be made clearly evident.

#### Group Similar Kinds of Work

In most all organizations the activities that are carried on are made up of a number of kinds of operations. These operations are sometimes quite similar in character and in others they are very dissimilar. For example, the filing operation is quite different in comparison with the work of the bookkeeper. The purchasing process differs substantially from that of the accountant. Normally, it would be inadvisable to assign both budget preparation and equipment procurement to the same person. On the other hand, the maintaining of stocks of office supplies and keeping property records are in some respects similar and both of these jobs might well be done by the same individual.

There are many good reasons for assigning similar kinds of work to one employee or to a group of employees working together. The practice results in a degree of specialization which, under effective direction, results



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in greater individual proficiency. Also, the interests of the individual employee may be desirably influenced. It is hardly probable that any one employee would display the same interest in many different kinds of work as he would if he were responsible for relatively few. There are, of course, numerous other advantages. A very obvious one is that the physical facilities required to carry on one type of work are frequently about the same as those required for several kinds of work which are similar in character.

Of course, there are a number of dangers that are always present in this process of work grouping, a number of pitfalls that must be guarded against. Individual operations can be subdivided just so far. When that point is reached the obviously deterring factors must be taken into consideration for to go beyond that point will result in some very definite disadvantages.

It is not always possible, usually by reason of staff limitations, to avoid the assignment of somewhat unrelated work to one individual employee or to one group of employees. When this is done, through necessity, the probable difficulties inherent in this situation should be openly recognized and such factors should be given full consideration in evaluating the efficiency of the unit and of the individual employees who are involved. Of course, advantage should be taken of every opportunity to improve this type of situation. When conditions will permit, redistribution of the work often results in improvement. But there must be good and logical reasons for making the redistribution. And when that is the case, it is usual that the resultant benefits will clearly outweigh the disruptive effects which always occur in connection with any change.

#### Only One Boss For Each Employee


Every employee must know, at all times, to whom he is responsible for the performance of his official duties. At any one time no employee may be





expected, nor should he be permitted, to take orders or instruction from more than one person. Of course, we do not mean to say that at all times directions will be supplied by the same individual. But it does mean that at any one time all instructions and orders an employee receives must be supplied by a single person, by that employee's supervisor, his immediate superior. Naturally, whenever a supervisor will be absent from his official position for a sufficient period of time to justify a temporary replacement, all those employees who would normally look to him for instructions must be informed, by the regular supervisor, as to who will serve in his place during his absence.

Difficulty is a certainty, not just a possibility, when an employee receives instructions from more than one official. And these difficulties are almost certain, sooner or later, to result in serious consequences. It is evident, of course, that any person is unable to be entirely loyal to more than one boss. It may be true that the number of actual situations in which one individual employee does receive orders from more than one person is not negligible. But there is usually no real justification for the existence of such a condition. When it does exist, it usually represents a serious administrative failure. The competent manager will refuse to tolerate it. He will immediately recognize the situation and either correct it himself or take prompt and positive action to see that there is correction.

It is not very difficult to recognize the position of the individual who frequently receives orders from several directions. This unfortunate employee is certain to receive orders that are in conflict. He is expected to establish priorities for work assignments which others have indicated should be carried concurrently. He is expected to please all of his bosses. The situation in which he is placed is an impossible one. No individual, 



no matter how competent he may be, can perform to the limits of his ability when he is expected to carry out the instructions of more than one person.

There is a very effective test that can be used to determine whether or not this inexcusable condition is present in any organizational unit. The test always works and is worth trying whenever there exists any uncertainty in this regard. Merely ask the employee who his boss is. If the employee immediately names one person, it is pretty conclusive evidence that a proper condition exists. On the other hand, if there is prolonged hesitation or if two or more people are named it is positive evidence that the designated supervisor of that employee has not made clear his relationship with this subordinate. Unfortunately, it seems to be true that entirely too many working people do not know for sure for whom they are working. The clearing up of this question, and keeping it cleared up, represents one of the most important responsibilities of every manager.

The creating of the proper arrangement, and the maintaining of a clear understanding as to what is the proper arrangement can be accomplished without difficulty. Of course, it requires awareness and effort on the part of the responsible supervisor, on the part of the supervisor's boss, and no little responsibility rests on each individual subordinate. The subordinate must first know, must be told by the proper official and in the proper way, which one individual the subordinate is officially responsible to. This is the right of every employee and he should insist upon that right. But there are others who share in this responsibility. Every competent managerial official will assume fully the responsibility that is his by making certain that he and he alone directs his subordinates.

Next, it is the subordinate's responsibility to conform to the proper chain of command. If he does not conform, and we must admit that many





employees are inclined not to, it is the job of the boss to bring the subordinate into line promptly and firmly. In reality, this is not just the efficient way to operate, it is the easy way. For everyone benefits and no one loses. When there is not a clear understanding on the part of each employee as to who his boss is, the members of the organization who are involved will most certainly be frustrated people. Friction is certain to exist. And as a consequence, efficiency in all of its phases will not be, and cannot be, maintained at an acceptable level.

It is extremely difficult to understand why it is that this so obvious principle is violated so extensively. This principle was recognized, and was voiced, many centuries earlier. The wording at that time, which made reference to the inability of any person to serve two masters, may have been a little different. But its significance then, and today, is exactly the same. It is equally difficult to understand why, after many generations, there has not been developed universal and complete acceptance. But it is even more difficult to accept any view tending to imply that a similar period of time must elapse before there exists the appropriate degree of recognition and acceptance.

#### Keep the Number of Subordinates Within Workable Limits

Just how many people can one manager, one supervisor, efficiently direct? Of course, a number of factors must be taken into consideration before it is possible to provide a logical answer. The kind of work, the difficulty of the operation, the arrangement of workers and facilities, and the extent to which the manager and his people are physically separated constitute some of the factors which have to be considered. If all members of the subordinate staff work in close association with each other and they are all doing about the same kind of work from day to day, a supervisor can





effectively direct quite a large number of people, possibly as many as twenty or thirty or even more. If, however, the work is especially difficult and requires the frequent attention of the supervisor, or if the members of the subordinate staff are located so that their boss has to deal with them individually and possibly infrequently, the number that one person is able to direct efficiently will be considerably less. Under this latter arrangement possibly as few as four or five immediate subordinates will constitute a full supervisory load.

But the character of the work and the physical relationship features are by no means the only factors to be considered. There is one more factor which probably exerts as much influence, and possibly more. And that relates to the most important commodity, and probably the one that is the most complex, for which the supervisor is responsible. His people, the individual members of his immediate staff, whose individual temperaments and personalities are never identical. This one factor alone contributes substantially to one of the most important and one of the most difficult jobs every manager has to do. And that is, the coordination of the efforts expended by the members of the subordinate staff in carrying out their duties.

With only one subordinate the manager is able to deal directly with that person without any disturbing influences on the part of other people. When the subordinate force consists of two people the manager must deal with them collectively as well as individually. And when there are more than two subordinates the same condition is true and the coordinating job becomes more and more difficult. For when people deal with their boss as individuals they act in one particular way. When they are dealing with him as a member of a group each individual member reacts differently. And when the same person serves as a member of another group he reacts in still a different



way.

To carry this still further, when an employee is a member of a group of two he responds in an entirely different way than he does when serving as the member of a larger group. Bearing these facts in mind, it is not difficult to recognize that the coordinating job of the manager increases greatly when the number of his subordinates increases. However, problems of coordination do not increase in the same ratio as the increase in the number of subordinates. They increase many times more rapidly.

For example, a supervisor has three subordinates named John, Jim, and Charley. John and Jim get along well together and when working as a team present no particular difficulty to the boss. Charley's make-up, however, is entirely different. Different by reason of his individual personality characteristics. Charley dislikes to work with anyone else and especially dislikes working with John and Jim. When the work situation requires that Charley and John work together, the boss is confronted with a more difficult problem. When Charley has to work with Jim an entirely different but still difficult situation develops. When all three of them are required to work together still a third circumstance arises which calls for an entirely different type of treatment on the part of the boss. It is not difficult to visualize the difficulties that would arise if just one more Charley was hired.

With this illustration, it becomes obvious that with an increase in the number of subordinate employees, and the accompanying increase in number of personalities involved, the coordinating job of the manager may soon reach very difficult proportions. This is a fact that is often overlooked. Consequently, the arrangement which requires any one administrative official to supervise too great a number of subordinates frequently causes very serious problems. And with considerable frequency the situation receives much less





attention than is necessary to bring about the existence of a suitable state of affairs. The reasons behind this lack of attention, which is so badly needed, may become evident as we proceed with our discussion.

We will probably all agree that the number of supervisors in quite a few organizations who are held responsible for directing an excessive number of subordinates is quite substantial. In some instances the situation is so extreme that many of these people are faced with virtually impossible tasks. And this condition of which we speak is not one which is limited to first line supervisors. It may exist at all levels from the very top down to the bottom.

Many of the serious organizational problems which exist are the direct results of violation of this important principle. With but few exceptions, these difficulties can be readily overcome by recognizing the supervisory limitations of one person, by taking the action required to establish an acceptable arrangement and then by making certain that such an arrangement is maintained. Every time that it is planned to add just one more employee to a unit, the effect upon the supervisory load of that unit head must be carefully considered. Whatever adjustments that are necessary should be made if it is evident that the contemplated increase in the number of subordinates will result in a managerial workload that is too heavy for any qualified individual to handle.

#### Assignments to Members of the Subordinate Staff

The primary function, the job, of the full time manager may be well worth repeating. He is responsible for getting work done through the efforts of others. It is very obvious that in order to carry out this responsibility the manager must turn over to each of his subordinates a selected part of the total job to be done. If the manager has a full managerial load he should not retain any part of the routine work operations for himself. His entire time





should be devoted to the overall administration of his subordinate employees. His full time is needed to direct them in the performance of their individual assignments, to coordinate the several activities that are being carried on, and to control all of these operations by inspection and by a variety of other processes.

There are a number of practices that should be kept in mind and that need to be conscientiously applied in making assignments to individual subordinates and in administering those employees who are responsible for carrying out the assignments made to them. In the first place, all such assignments should be clear and specific. They should be fully understood by the people receiving the assignments. And they should be so clear-cut and lacking in vagueness that no valid question can possibly arise as to character and extent of the responsibility, and the authority, that is vested in each individual. Only confusion, delay, substandard performance, and other equally undesirable conditions can result when employees do not definitely understand the limits of their individual responsibility and authority.

The assignment of responsibility without adequate authority is a most atrocious practice. It is decidedly unfair to the individual and can never result in a situation that is acceptable to him or to anyone else. In assigning any responsibility to a subordinate it is essential that it be accompanied by the authority that is required to enable the recipient to redeem that responsibility. No less authority than is required and not substantially more than is necessary. Once an assignment has been made both the responsibility and the authority which accompanied it should remain until the assignment is completed or until it is decided, by proper authority, that all or a portion of such responsibility and authority will be withdrawn.

Whenever the responsibilities of anyone are partially or wholly removed for assignment to others, or for any other reason, all those people involved





must be fully informed of the change. They need to be told, as well, why the change is being made. If it is determined that the assignments to any one employee places upon him too heavy a workload, and it is concluded that this condition may be remedied by transferring certain of the assignments to others, the responsible administrative officer needs not only to take the required action to accomplish this but he must see to it that the transfer is fully understood by all parties affected. Should it become necessary or desirable to withdraw some or all of the responsibility assigned to one subordinate the action to accomplish this must be definite and positive. It must be done by the proper officer and with the same degree of thoroughness that was followed in making the initial assignment.

The importance of seeing to it that all those taking part in any cooperative effort are completely acquainted with the assigned part of each one can hardly be over-emphasized. It is a matter of major concern to every manager and to every one of the people working for him. Particularly in a new organization, or where new employees are involved, it is essential not only to provide complete verbal instructions but it is often advisable to reduce these instructions to writing. To make certain that complete information is placed in the hands of all those who are being held responsible as well as those other who have need for the same information.

It seems very safe to say that no individual responsible for administering a great variety of functions is capable of maintaining, for any substantial period of time, a high level of individual proficiency in each one of them. If that person is a thoroughly competent and experienced specialist in one or two of the functions he is held responsible for administering, there will be considerable temptation for him to devote the greater part of his effort and interest to those fields he is most familiar with. When he succumbs to this temptation the other functions are certain to suffer.





To be successful the manager must be capable of subordinating his special interests, and his hobbies, sufficiently to assure the appropriate distribution of his attention and effort. To give a disproportionate amount of time and interest to a limited number of segments of the manager's total activity, because of individual preferences, is clear evidence of a managerial weakness. It is a practice that is most unfair to all subordinates. It is as disturbing to those engaged in the work in which the manager is vitally interested as it is to those who are held responsible for activities in which he shows but negligible interest. The manager can avoid this situation only through the continuous application of conscious effort.

It would seem to follow then, that the successful manager must understand not only what he should do but should recognize, as well, the things that he should not do.

#### Official Relationships Must Be Clear And Understood by All

The application of the "principle" concept to this area may represent somewhat of a departure from conventional views. However, it is our belief that the condition under consideration is of such vital importance that this degree of departure is clearly justified. The things that need to be done to create the proper state of affairs are subject to ready identification. Our discussion will center around the conditions that need to be created as well as the managerial practices which, when followed, will result in the creation of those conditions.

The wise and efficient manager is the one who never takes it for granted that the members of his unit will take it upon themselves to keep currently informed about the framework of the organization and how it is supposed to operate. He makes doubly certain that each of his subordinates is fully acquainted at all times with the prescribed relationships between himself and





all of those with whom he has official contact. The manager uses several methods to accomplish this.

First, he makes certain that all of the employees who are involved take part in the development of the organizational structure and in the making of any later changes. Their interest, their acceptance, and the degree of their adherence will be much greater if they have the opportunity to present their views and if the arrangements finally adopted incorporated some of their suggestions.

Second, the manager periodically calls meetings of his subordinate staff for the sole or primary purpose of making certain that organizational relationships are clearly understood. And to give the people concerned the opportunity to express their views on the way things are organized, as well as to suggest any changes that they think would prove desirable. It is probably appropriate to refer to these meetings as "management conferences." For matter relating to the organizational structure represent the primary topics of discussion. When such conferences are properly conducted they offer one of the most effective means of obtaining full employee participation and give reasonable assurance that an acceptable understanding of organizational relationships exists at all times.

The average manager will be pleasantly surprised to observe the many beneficial byproducts resulting from comparatively frequent conferences of this character. They reveal structural weaknesses in the organization, personality difficulties, exceptionally harmonious relationships and instances of outstanding accomplishment. They permit of the initiation of prompt corrective action based on early discovery of discrepancies. Perhaps most important of all, they do much to "keep the air clear." And when they occur as frequently as they should, it is seldom that problem situations have sufficient time in which to develop to major proportions.

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Third, the manager makes systematic inspections to observe the quality of work operations as well as the demonstrated attitudes and proficiencies of the people responsible for performing those operations. He discusses the worker's individual job with him, gets his views as to ways in which improvement might be made and arranges for the adoption of the subordinate's suggestions whenever there is agreement that the results will be beneficial. The manager makes no organizational or operating changes of any particular consequence without first giving all those affected an opportunity to consider the various aspects of the situation. By this statement we do not mean that all contemplated changes must be acceptable to all concerned. It does mean, however, that those affected are given the opportunity to express their views before definite action is taken. And whenever practicable the majority views of the subordinate force should be accepted. It is often desirable to follow that practice even though the opinions of the superior officer may not be in complete agreement with those expressed by his subordinates.

Fourth, it is very obvious that subordinates need to have a clear understanding of the pattern of the organization of which they are a part. Explanations of the organizational structure, which is accomplished by a variety of methods, must be thorough and complete. But the development of an acceptable degree of understanding is insufficient. That understanding must be maintained. And one way to do this is to repeat the explanatory process, always with full staff participation, as often as it is determined to be necessary to maintain the degree of familiarity that is needed.

But it is seldom possible to create and maintain this thorough understanding solely by the development and distribution of narrative material designed to describe and explain the form of organization. Such a document, or series of documents, would of necessity be considerably detailed and





probably far from fully effective. It probably would be difficult to get such a detailed narrative explanation fully read or thoroughly understood by the majority of employees.

Accordingly, it is essential that there be prepared and distributed for widespread consumption brief and concise statements of individual responsibilities and of individual and group relationships. Such statements supplemented with diagrams or charts represent an effective means of bringing about and maintaining the required degree of understanding. Of course, the value of such material depends upon how effectively it is used. Organization charts that are not kept up-to-date or are not currently utilized are of as little value as anything else that is obsolete or stored away in the files.

The organization chart that is kept current and is properly used is one of the most effective means of insuring a clear understanding of the organization by the people comprising it. It is the practice of some administrators to do a good job in the initial development of the chart but to do an equally good job of letting it get out of date or of not using it to full advantage. Whenever any organizational change of any kind is properly approved and adopted it is imperative that the chart be appropriately revised at once. Any method of operation which is in conflict with the authorized method, as reflected by the organization chart, represents the violation of an important policy decision and should be dealt with promptly and effectively. The manager who condones repeated disregard of the established pattern of his organization is operating in a less than acceptable manner. The manager who himself regularly violates the established pattern is committing a serious violation.

In most of the relatively large organizations the structures of its various segments are subject to rather frequent change. The causes of these necessary changes are many. New employees with skills and capabilities differing from their predecessors will frequently necessitate some form of





revision. The same result will occur when certain of the work operations are completed, when new kinds of work are added and when new methods are adopted. It is an important responsibility of the manager to keep pace with changing conditions, regardless of the form in which they occur, by promptly bringing about the appropriate organizational changes which are needed to conform to the current condition. There seems to be no question then, that the job of organizing is not one which occurs on infrequent occasions but is one that is ever present in the overall function of every manager.

In the interest of improving communications in the management field through the development of a common language, we will adopt the practice of hereafter referring to the principle just discussed as "the principle of clarity of organizational relationships."

#### The Line-Staff Relationship

With respect to all organizations the highest ranking administrative official is held responsible for the attainment of the overall mission of that organization. In large organizations a number of other administrative officers occupying high level positions are held responsible for the accomplishment of certain major phases of the organization's objectives. And, a still greater number of managers, operating at still lower administrative levels are held responsible for the achievement of still smaller parts of the overall objective. And, of course, at the first or bottom structural level there are those non-supervisory workers whose individual efforts represent their contributions to the total undertaking. This group of employees, taken collectively, represent what is commonly known as the "line" portion of the organization.

At the same time, in other than very small organizations, there is usually still another group of employees who are not charged with this same type of responsibility. It is their primary function to do whatever is necessary to assist the line in accomplishing its objectives. It is the sole



function of this latter group to help the line perform in an efficient manner, to help the line produce acceptable results in carrying out the responsibilities assigned to it. This group is normally identified as the "staff" portion of the organization.

There is no fixed numerical relationship between the two groups. Collectively, however, they represent the total organization. Every employee and every work unit may readily be placed in one of these two categories with regard to their relationships to the total structure. With relation to the complete organization each employee and each unit may be classed as either staff or line.

It is evident that the character of these two groups, from the standpoint of the place that each one occupies in the overall structure, is substantially different. And for that reason they must, in all of their official operations, be kept appropriately apart. At the same time their activities must be integrated sufficiently to insure that a state of true harmony exists, that the organizational objectives are accepted as being of mutual concern to all. For these reasons, it is of considerable importance that all of the members of every organization be constantly aware of the very real differences which exist with relation to these two major groups, the line and the staff. It is of equal importance that every individual employee be fully familiar with the character and scope of his responsibilities and of his relationship to the members of his own group and members of other groups with whom he has contact. This understanding must be so complete that there is full recognition by all that each group is a complement of the other and that, taken together, they make up the whole.

It would seem important to make it very clear that the staff in its "assisting" capacity relates to its place in the total organization. Within each staff





unit consisting of one or more managers each with a subordinate staff, there are many line functions performed by staff officers occupying managerial positions. However, the line functions performed by members of the staff units relate only to activities and to the relationships which exist within those staff units. The line functions performed by a staff unit employee never extend to the parts of the organization outside of the staff unit of which he is a member. The staff unit, and the people comprising it, operate in a staff relationship with reference to the other units and other members of the total organization.

Perhaps a few more words about this admittedly confusing condition would be worthwhile. Obviously, a sizeable staff unit has some one official at the head with varying numbers of managers and other employees in its subordinate levels. In the management of the operations within the staff unit administrative and supervisory officials perform line functions in their management of the activities carried on by their respective subordinate forces. Even though this is true, the overall objectives and the operations of the entire unit are purely staff in character.

Where there is the absence of complete understanding of the line-staff relationship such a condition may cause as much confusion, and as serious problems, as any other single deficiency in the management area. It is admittedly somewhat difficult to keep the situation under full control. And it is virtually impossible to maintain adequate control if the management force itself is not fully competent. When that force is relatively weak, it is entirely possible for a really chaotic condition to develop. And once the situation gets well out of hand it requires some real managing to get it back on the right course.





The absence of appropriate concern for the line-staff concept probably contributes to this general difficulty to a considerable extent. This sort of condition is often accompanied by the practice of using the staff term in about as loose a manner as could be imagined. Like many of the other similar terms subject to variable interpretation continuing inaccuracy tends to make worse rather than to improve the whole situation, as well as the understanding of the people who are involved. The origin of the term "staff" is about as elemental as anything could be. In its original sense the term "staff" referred to "something to lean on." That original meaning is equally applicable in an organizational sense. The staff part of the organization is something that the line leans on to get the job done.

This state of confusion and the resultant difficulties arising from it are usually caused by two specific sets of circumstances. The first, a decided lack of understanding among members of the organization of the true relationship of the line segment to the staff segment and of the staff people to the line people. The second condition is a direct offshoot of the first. It results from this lack of complete understanding. Staff members frequently feel that they are being discriminated against when they are not given any real authority over the job, the operation or the project. Because of this feeling there exists the natural tendency for them to assume responsibility and authority which is not properly theirs. Of course, this assumption or rather the consequences of it in the form of attempted authoritative action, is resented by the line people. The line feels that its prerogatives are being encroached upon and that is true.

Under this condition friction is certain to develop and to remain if the true relationship is not promptly and properly defined and rigidly applied. It seems to be as simple as this. In the absence of a clear understanding there is

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bound to be confusion as to who is responsible for what. This lack of harmony and of cooperative and integrated effort will show itself in a variety of ways. There will be unjustified delays in completing assignments. The quality of work will frequently fall below the established standard. Resentment will continue to build up and friction will be the rule rather than the exception. These are only a few examples of the results that are certain. It seems unnecessary to elaborate further upon the other probable and possible conditions that may develop and upon the detrimental consequences accruing from them.

When the manager attempts to establish a state of proper understanding or tries to clear up some of the misunderstandings that have already developed, he should not find it very difficult if he keeps in mind a few very fundamental facts. He should make it clear to his people that the relative importance of the line and of the staff is, for all practical purposes, equal. Each is dependent upon the other. Each has a specific function to perform which is essential to the achievement of the organization's overall objective. The degree of success of one determines the degree of success of the other. Neither can exist without the other.

Possibly an example may help to define more clearly the importance of maintaining a clear line-staff situation. For example, a particular organization is responsible for a variety of operations including the building of bridges. The responsibility for site surveys, for design, specifications, bills of material, and the in-progress inspection of technical aspects rests with the engineering staff. The responsibility for the actual building of the structure rests with one of the line units of the organization. Of course, the line unit includes engineers who are qualified to interpret construction plans and to direct the actual construction activities. Naturally, these line engineers as well as all others sharing the responsibility for the actual construction work





report to line officials. They are not under the jurisdiction of the engineering staff. Members of the engineering staff are responsible for conducting technical inspections during the course of construction. They have the specific responsibility for offering suggestions and furnishing counsel and advice to the line people, right on the job. The inspection findings of the staff engineer are reported to a superior line officer. The line may accept or reject any of these suggestions or any of the advice or recommendations of the engineering staff. The line has the total and final responsibility for getting the job done in an efficient manner and in accordance with prescribed standards.

Under this arrangement, as well as other similar ones, the competent line officer will respect the views of competent staff officers and will usually accept those views. Staff comments should normally be considered as authoritative, since these officers occupy their jobs because of their expertness in their respective fields. They know how the job should be done from a technical standpoint and what the final result should be. But they should not be expected to know how best to get the job done. This is the line function. Of course, on occasion the suggestions of the staff cannot be accepted by the line by reason of operating conditions with which the staff is not familiar. In such cases the decision of the line is, of course, final.

Often with respect to many of the problems between the line and the staff, it is the staff that got out of line, or rather got into the line. The explanations of such incidents that we hear about usually indicate that the staff is entirely at fault because it usurped line prerogatives. That may or may not be the true condition. But in any event it seems safe to conclude that the line is often largely responsible for these conditions even though the staff seems to get all of the blame. The line people have a real responsibility in not only recognizing the proper division of authority but in properly adhering to that

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arrangement. The line needs not only to be fully aware of the responsibility and authority vested in it, but, as well, the responsibility and authority of staff people. The capable line officer is jealous of his prerogatives and he will not permit the staff to go beyond its limits even though by so doing it might appear, on the surface, that it would be to the considerable advantage of the line to permit that to happen. Each of the two components has its place, an important place, and each one must clearly understand what its place is and remain in it.

Of course, the highest ranking staff unit heads in every organization report to line officials. One of the greatest responsibilities of top level line officers is to see to it that the appropriate line-staff relationship exists in all of the levels of the organization beneath them. In view of the importance of this responsibility it becomes entirely clear that this function represents one of the major coordinating jobs of the line administrator. One that calls for his constant attention.

#### Other Basic Principles

There are several other basic principles of organization that the manager needs to be familiar with. Those we have described in some detail are the ones that are of primary concern to managers at all levels, from the first line supervisor to the highest administrative officer. However, the other basic principles are of particular concern to the members of the management force who occupy the higher level jobs. Whose overall responsibilities include the more difficult organizational problems of some magnitude.

Two of the other principles will be briefly mentioned. Each one is a quite complex item and justifies considerable attention by the members of any management force having considerable responsibility and authority for determining the character of the overall structure.



### Centralization Versus Decentralization

In what is commonly referred to as a centralized organization a great deal of the authority to decide and to act is retained in the upper administrative levels, possibly at one central headquarters. This means, of course, that but a minimum of operating authority is delegated down the line to subordinate administrative levels. Naturally, there are various gradations with respect to the degree of centralization. For example, an organization that is national in scope might carry on and direct its "field" activities from the one national office. Or it might decentralize to some degree by establishing several regional or area offices and delegate some authority to those offices.

Of course, there are both advantages and disadvantages of the centralized type of operation. It is obvious that uniformity in practice may be maintained with a minimum of difficulty because of the rigid control imposed at one central point. Not only overall policy and practice determinations are made at one or a very few locations but the implementing details originate there also. The problem of coordination is minimized because but negligible authority has been assigned to members of the organization who are located elsewhere.

The disadvantages that are inherent under this arrangement are quite evident. When the on-the-ground operations are widely dispersed, are quite variable as to character, and are remotely located from the central headquarters, it is obvious that such operations may be subjected to considerable delay in view of the necessity for obtaining headquarter's approval on matters other than those of minor significance. There is the strong tendency, as well, for the people at the headquarters, distantly removed from the scene of operations, to be insufficiently familiar with actual operating conditions. Also, the central headquarters staff may find it difficult to maintain a realistic view with respect to the organization's true objectives and, as a consequence,



The first part of the paper discusses the importance of the study of the history of the United States. It is argued that a knowledge of the past is essential for a full understanding of the present. The author then goes on to discuss the various factors that have shaped the development of the United States, including the role of the government, the influence of the economy, and the impact of the culture. The paper concludes by suggesting that a study of the history of the United States is not only a valuable academic exercise, but also a necessary one for anyone who wishes to understand the world in which we live.

Conclusion

In conclusion, the author argues that the study of the history of the United States is a vital part of any education. It is through the study of the past that we can learn about the values and beliefs that have shaped our nation, and we can gain a better understanding of the challenges that we face in the future. The author also suggests that a study of the history of the United States can help us to develop a sense of national identity and pride, and it can also help us to become more active citizens in our communities.

prescribed policy and practice may tend to become somewhat unrealistic and possibly dictatorial without appropriate regard for the actual circumstances under which others are expected to apply these decisions.

In the organization which is decentralized in the extreme the maximum authority is delegated down the line with the minimum authority retained at the central headquarters. Under this arrangement only the very broadest policies are formulated in the central unit and the responsibility for adapting such policies to local conditions rests with the people in the several subordinate administrative levels.

The "field" staff is often much larger, percentage-wise, than it is in the centralized type of organization. The people not at the central headquarters have much greater authority to decide and to act on their own. They have much greater opportunity for independent action. The result is, of course, that the progress of the field work is relatively unimpeded for the reason that it is seldom necessary to delay action awaiting the issuance of a decision by a remotely located control point. This provides the opportunity for the exercise of individual initiative and emphasizes the importance of selecting the field employees who are capable of operating acceptably with a minimum of direction.

There are, of course, some disadvantages but many may be overcome with a strong central management force. It is very evident that there is much greater opportunity for the independent operator to misinterpret policy or prescribed practice and arbitrarily to adopt and engage in activities which are in substantial conflict with the intent of central headquarters mandates. And there is always the possibility that an unsatisfactory situation will persist for an appreciable period of time before discovery. These possibilities emphasize the necessity for continuing surveillance from top to bottom, for





the exercising of thorough and rigid control methods which will insure virtually continuous appraisal of operations at all levels.

It is not possible to state categorically that extreme centralization or extreme decentralization is best. There are many factors to be taken into consideration in deciding upon the exact arrangement which will prove to be most effective. The kind of work to be carried on, the necessity for specialization, the extent of geographical dispersion of the work, the diversity of character of the operations, the extent to which the work is recurrent in character, and other similar factors have to be considered in making the determination. And after all pertinent elements have been carefully analyzed it is often decided that certain functions should be centralized, certain others should be decentralized, and still others should fall at points between these two extremes. The propriety of the decision that is arrived at initially will be determined later as the result of experience. Many times it may be necessary to modify the form of organization, in either direction. Such factors as the expansion of operations, or their retraction, will frequently necessitate some degree of revision.

#### Departmentalization or Bases of Organization

When designing the organizational structure of any enterprise, it is always necessary to decide on the most logical grouping of the component parts of the total operation, how they will be located with reference to the others. The organizational structure may be designed on the basis of (1) major purpose, of (2) major process, of (3) the people or material things dealt with, and of (4) the location of the operations. Comparatively few of the larger organizations, if any, are developed solely in accordance with only one of these bases. Two or more of these bases are usually reflected in the design of most all of the sizeable structures. The applicability of each one, to get the best results, depends on many factors, such as size, dispersion, technical and

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scientific aspects, and the like. Each one of these bases, standing alone, offers both advantages and disadvantages.

When organized on the basis of major purpose, it is probable that the accomplishment of this purpose is made more certain as the organization has all of the facilities needed for the operation and is not dependent upon others for certain services. The working force may be more effective as the members of the organization are better able to understand the end objectives of it. On the other hand, the dominant influence of the purpose may tend to subordinate the attention that is given to quality and to adequacy of methods and the technologies employed. The important subordinate parts of the work may suffer by reason of the tendency to accord disproportionate attention to the overall objective. And as the organization is a self-sufficient independent entity this may cause some loss in efficiency through the development of an attitude of complacency or even one of arrogance.

When organized on the basis of major process, there is assurance of full utilization of up-to-date methods by reason of the degree of specialization that is present. There is maximum economy by reason of mass production and repetition in the operations that are performed. A higher degree of coordination is present in the various technical and scientific areas as all personnel engaged in such activities perform under the same directing head. There are some disadvantages. There may be the tendency to apply the major process basis to all kinds of work in the organization. This may work out well for one phase, such as in the field of engineering, but prove entirely unacceptable with relation to certain other functions such as clerical and stenographic work. The accomplishment of the organization's major objectives may be impeded. The extreme degree of specialization may cause the specialty to receive first consideration and the end objectives to be looked





upon as secondary. For example, when the sole function of the organization is to do auditing work, the members of the organization may take on the attitude that the conducting of audits is of first importance and that the primary mission is relatively unimportant.

A good example of organization on the basis of people is the Veteran's Administration which deals with most all the problems of the individual veteran. There are a number of advantages to this arrangement. The people being served deal with one or a few instead of a great number, thereby substantially reducing the possibility of conflict in the information that is supplied. Repetitious association with the same material tends to produce a high level of competence. There are disadvantages. Because each member of the organization is operating very much as a generalist, there is little opportunity to acquire the level of efficiency that is inherent where a high degree of specialization exists. It is virtually impossible to apply this basis to the exclusion of all others without producing conflict and duplication with respect to the operations of other organizations. Too, the organization is more susceptible to political pressure. For the people being served are better able to function as an entity and bring pressure to bear through consolidated effort.

When the activities are organized on the basis of place, all those working in a given area are brought together in that area regardless of the kind of work they are doing. Obviously, any organization with widely dispersed activities such as in a State, must be subdivided geographically. Under this arrangement coordination and control are more effectively exercised because of the limiting of the size of the area under one administrative head. There is a greater tendency to adapt operations to the needs of the area served as area differences are more readily defined. Of course, travel costs are reduced, and so is the amount of red tape, thus tending to accelerate all





operations. On the other hand, it is more difficult to maintain adequately uniform "agency-wide" policies and practices. Field officers may tend to become more provincialistic in their views and actions because of the limited scope of their activities and because they are more vulnerable to penetration by local influences and interests. When the geographical subdivisions are many in number there may be a strong hesitancy to delegate authority to a sufficient degree. And when there is adequate decentralization of authority the need for highly qualified administrators at the local level is greater.

So much for these four major considerations in deciding upon the most effective form of organization. It is not imperative that every administrator be intimately familiar with all of the possible influences exerted by the application of each of these four fundamental bases. However, it is important for an administrator to be aware of the major advantages and disadvantages of each one and to consider these possible effects before arriving at a final decision as to the most appropriate form of organization. Naturally the greater the responsibility of the administrative official the greater the need for him to possess rather complete knowledge with respect to the field of organization. His knowledge may be substantially expanded in the conventional ways, by a thorough consideration of the experiences of others as well as through the study of other organizations including the effectiveness with which their respective operations are conducted.

#### THE APPLICATION OF THE BASIC PRINCIPLES OF ORGANIZATION

Our discussion of these basic organizational principles in this abstract way may not be an entirely effective method of making clear the pertinent features of this subject. Perhaps the describing of a number of tangible conditions will be of some help. The number of actual cases of non-conformance to these principles in some organizations is sometimes



rather disturbing. It might be appropriate to cite a few situations which illustrate the application, or the lack of application, of certain of the basic principles we have just discussed. This will necessitate some repetition which, we hope, will not result in substantial detraction.

#### Grouping Similar Kinds of Work

In most industrial and governmental organizations the personnel management units are designed so as to include virtually all activities which relate to that field. There are, of course, some variations. But normally these variations are of somewhat minor character and exist because of the presence of certain unusual organizational characteristics.

It is the standard practice to group several personnel management functions under one head, under the personnel officer. The major functions of the unit usually include the testing of applicants, recruiting, selecting, employing, job classification, employee relations, the processing of personnel actions, and the maintaining of personnel records. The size and complexity of each of these functions will largely determine whether the function should be set up as a separate unit or combined with one or more other functions. For example, a negligible amount of investigative work would probably not justify the establishment of a separate investigation section. It might be logical to handle this operation as a part of the employment unit. Or in a small organization where comparatively little hiring is necessary it would hardly be logical to establish a separate recruiting section. Here again these activities might well be made a part of the unit in which one or more closely related operations are carried on.

Many personnel management offices represent good examples of the practice of putting together under one head those work activities that are of similar character. And it is frequently true that these offices are so





organized that comparatively small but closely related functions are grouped together to make up one unit under one administrative official. These same offices effectively illustrate the necessity for the positive segregation of functions when justified by conditions. For example, those functions which are extremely extensive, often requiring the services of a considerable number of employees, may be operated as separate and distinct units which are responsible for but the one function.

### Only One Boss

It seems safe to say that few other basic requirements are violated more than this one. And it is the one which may well cause the most trouble. It probably would not be very difficult for the members of many organizations to cite numerous examples of violation, of instances where the individual employee is attempting to work for two or more bosses. It is possible for us to recall readily a number of such violations occurring within certain public agencies with which we are familiar. To illustrate we will describe one of these situations in some detail.

In this instance, the employees at the project level were supposed to report to the head of the central office responsible for quite a number of activities in a specific geographical area. The people at the project level were responsible for all of the operations carried on in their respective project areas.

A number of years ago a sizeable bridge construction project was initiated in one of the areas administered by an area supervisor. The structure had been designed by the central office. The project supervisor was responsible for initiating action to obtain the necessary materials, equipment, and labor, and for the overall supervision of the job. Direct supervision of the construction work was provided by an engineer not regularly assigned to the staff of the project supervisor. Construction in progress was occasionally

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inspected by staff technicians from the central office.

When construction work was well under way the project supervisor and his immediate superior inspected the project. It was immediately evident that lines of authority were not clear. The limits of responsibility and authority of the project supervisor and the engineer supervising the job were obviously confused in the minds of these two people. Neither clearly understood the extent of his authority or from whom he should accept instructions. This lack of a clear understanding on the part of these key officers was decidedly unfair to all concerned. As a result of this situation serious difficulties could easily develop. And there existed no real justification for the existence, or at least for the continuation, of this disruptive situation.

The superior of the project supervisor explained to him, and to the project engineer, that the project supervisor was responsible for the job and that he was being held responsible for providing the necessary instructions to the project engineer. This was fully explained to both of them at the same time. It was further explained that the staff engineers from the central office were responsible only for inspecting, reporting, counseling, and advising. They were expected to offer constructive suggestions but could give no orders to the project supervisor, to the project engineer, or to any of their subordinates. By clearing up this question, by developing a clear understanding as to the limits of the responsibility and the authority of each one involved, the operation ran much more smoothly than it did during the period that these uncertainties existed.

This is just one of many instances that could be cited. It does serve to illustrate the certainty of the existence of uncertainties if the all important question of individual responsibility and authority is not cleared up completely at the very start. A little time spent at the beginning of an operation,



a little checking up now and then, and taking prompt corrective measures when necessary, will result in the avoidance of deterring conditions and in greatly improved performance in all respects.

Actually, it is not difficult for any manager to make certain that every employee has only one boss. And that every employee knows who his boss is. That every boss knows who his subordinates are. However, the mere possession of this knowledge is not sufficient. The people involved must operate just that way. And no other way may be considered by anyone to be acceptable.

The responsibility for adherence rests both with the supervisor and the subordinate. It is the supervisor's responsibility to make certain that the subordinate understands fully the nature of his official relationships to his boss and to his subordinates. Of course, some violations may and probably will occur. But the object is to keep them to a minimum. And one of the most effective ways to do this is to immediately recognize the violation, no matter how minor it may appear, and do something about it. There is no justification for thinking that "it won't happen again." More than likely it will happen again, and again, with increasing frequency and with more disruptive effects until the time when some positive action cannot longer be avoided. That action should be taken at once and the offender should be brought definitely and completely into line. When that is not done the offender is being subjected to unjust treatment.

#### A Logical Number of Subordinates for Each Manager

This condition is one which causes many organizations a great deal of difficulty. It is easy for a difficult situation to develop and it is just as easy to correct it. The trouble is, however, that when difficulties arise because the administrative load of an employee is too heavy, the basic cause of the





trouble is often not recognized. Then, too, even though the cause of the difficulty is recognized the situation is often only partly corrected. Or any corrective action that is taken may merely transfer the problem by creating a similar condition elsewhere in the organization.

The number of existing cases of "one official responsible for supervising too many" is so great that most any sizeable organization selected at random will disclose the presence of one or more such conditions. Here is one which represents a flagrant violation of this principle. The organization in question is a large one having its central headquarters located in the Nation's capital. A portion of its "field" operations are administered by a number of area offices with each one responsible for all activities carried on in several States. The area chief has eight or ten on his immediate staff at his headquarters. In addition, ten to fifteen heads of field offices report directly to the area chief, thus making a total of twenty to twenty-five immediate subordinates reporting to him.

With this large number of immediate subordinates effective coordination is virtually impossible. The area chief has to maintain close contact with the central headquarters and with numerous outside agencies and individuals. As a result, contact with his subordinates at field stations occurs with relative infrequency. The field office heads get to see and to confer with their boss, both individually and collectively, much less often than is desirable.

Fortunately, this situation is quite generally recognized and the normal effects of this organization weakness are partially offset by the fact that the true situation is understood by the principals involved. However, serious problems do develop solely because of the impossible supervisory load imposed upon this area administrator.





Under these circumstances the area chief could not possibly operate at the efficiency level of which he would have been capable had the one basic principle of organization, span of control, not been violated to such an extreme. The physical and mental capacities of any one individual are not adequate to meet the demands inherent in such an arrangement. This and other similar situations could be readily corrected by revision of the organizational structure at the levels involved. No major revision would be necessary. The establishing of an intermediate level is about all that would be required.

Naturally, the normal objection to this form of corrective action would be based on the contention that the chief would be one step further away from certain of the officers who formerly reported directly to him. The observation itself would be true. But the result, in actuality, would be to bring the chief closer to these officers rather than moving them further apart. With a new intermediate level relieving the chief of many of his former managerial duties he would be able to spend more time, not less, with the people at the several subordinate levels.

The fact that this type of condition develops is not strange. Frequently, the structure is originally sound but becomes unsound as the result of activity additions and minor organizational changes occurring over a substantial period of time. This condition of too many reporting to one is often brought about through organizational growth. A relatively small increase in operations occurs, requiring the addition of a few more people. Sometime later operations are expanded and another staff increase is necessary. The effects of the individual developments are not substantial but the aggregate effect is great. The fact that the growth did not all occur at one time, was instead a gradual process, probably accounts for the difficulty in



recognizing the degree of the total impact. The fact that the condition develops is no basis for alarm. The fact that it is allowed to continue is basis for real concern.

The efficient administrator is aware that one of his prime functions is to check on the acceptability of his organizational set-up with relative frequency. He knows that no organization ever remains static. That various influences are at work continuously and that, as a result, the form of organization that was entirely suitable some years ago may be in urgent need of change today. It is his job to recognize faulty organizational conditions when they develop, for any number of reasons, and to take prompt action to correct them.

The administrative official with too many immediate subordinates finds it extremely difficult, and perhaps impossible, to discharge one of his major functions. The function of control. He finds that the situation gets out of hand, out of control. The manager is unable to give the required attention to each of his subordinates as an individual and the subordinate feels that his boss is letting him down. That the boss doesn't think that the subordinate and his work are important enough to get much attention from the boss. The subordinate thinks that he is being left out. And actually, he is getting less attention than he wants and needs.

If the subordinate is particularly aggressive he may take advantage of the situation by going his own way. By operating pretty much as he pleases without due regard for the general interests of the organization. On the other hand, if the subordinate is inclined to be timid, to be ultra-conservative, and is lacking in initiative he probably will allow his operations to get hopelessly behind while waiting for the direction his boss is unable to give him. The consequences are far reaching. A chain reaction is started. If the reluctant subordinate directs others, his people will lose confidence in him, for





no subordinate can maintain confidence in a superior who is obviously indecisive, vacillating, and unsure of himself.

Our discussion concerning the span of control principle to this point has dealt with the importance of keeping the number of immediate subordinates at a sufficiently low figure. Our consideration has been directed toward those situations creating excessive supervisory loads because it is the normal practice to err in that direction. However, it is also important to guard against the arrangement whereby the subordinate staff is too small. This happens much more infrequently but when it does exist it is almost certain to create some very definite problems.

It is not particularly difficult to visualize what will happen when a supervisor has too few people to supervise. He does not have a full workload and unless he is able to find other things to occupy his time he's almost certain to "over-direct" his people. When this happens the subordinate feels that the boss is interfering with the subordinate's work, that the boss is meddling, that the boss thinks he cannot trust him to go ahead on his own. The subordinate becomes frustrated, his performance is adversely affected and instead of developing on the job, he is inclined to "wither on the vine." Such a condition as this, if not recognized and corrected promptly, is bound to have a serious deteriorating effect upon the supervisor as well as upon those he supervises. And, in addition, a positive demoralizing influence upon the other members of the organization who are familiar with the situation.

As a consequence of this type of condition, and other equally disturbing ones, the extremely weak administrator may resort to a really vicious practice when he gets "down" on one of his subordinates. He may want to get the subordinate out of the picture in some way but apparently convinces himself that this cannot be done in a manner that is considered both





conventional and logical. So, in the contemporary jargon, the subordinate is "put in the deep freeze." He is forced to remain in a "dormant" state. He is never given any definite assignments and if he starts something on his own initiative his efforts are disregarded and any results he may produce, no matter how valuable they may be, are not utilized.

Of course, no "administrator" worthy of the title would do such a thing but it does happen. Unfortunately, by the time a competent administrative official with sufficient fortitude, discovers what is happening and faces the issue, serious and usually irreparable damage has been inflicted upon an innocent victim. Sometimes the "corrective" measure that is taken consists of re-assignment. And it has happened that the "reassignment" of the prime offender resulted in a promotion for him, thereby enabling him to repeat, and possibly even to expand, this nefarious practice.

It behooves any manager who is conscientiously striving for efficiency in his operations, to create and maintain a state of appropriate distribution with respect to supervisory workloads. To recognize constantly the managerial limitations of the individual. To recognize the desirable limits of control in both directions. And to see to it constantly, that the people in each unit receive sufficient, but not excessive, administrative direction.

#### Delegation Is Essential

If an organization is properly staffed, if its work is well distributed, and if the total operation is well organized, most "supervisors" will have full time jobs of supervision. Of course, in some of the smaller units the supervisory load may be insufficient to require the full time of one person. However, one member of the unit is always responsible for directing the others. The others look to him for instructions and direction.



Of course, when the head of the unit does not have a full time supervisory load he is, of necessity, a "part-time supervisor." And here is where the trouble often starts. The situation is likely to cause trouble because of failure to recognize that the first job of the part-time supervisor is to supervise, and that the non-supervisory tasks he performs personally are of secondary importance. And that the non-supervisory work that the supervisor does should never detrimentally affect the quality of the supervision he provides.

The logic of this appears to be so very obvious. When a supervisor is not supervising his own personal production has to be at least equal to the work loss on the part of his subordinates, due to lack of direction, in order to compensate for the lowered output of the other members of his unit. A part time supervisor is first a supervisor and second a "worker." He must do all the supervising that is required and "work" only to the extent of the time left over, if any.

From this point on our discussion will relate to the employee who has a full time job of administering, of managing, of supervising.

Quite a number of administrative officials seem to find it difficult, and some appear to find it impossible, to understand fully that their sole responsibility, their full time responsibility, is to oversee the activities of their subordinates. Many of them seem to think, unfortunately, that they should retain the responsibility for personally doing some of the individual jobs or functions. This is definitely not a valid or correct viewpoint. It is a fallacy that evidences, beyond any question of doubt, the absence of full competency on the part of the individual with reference to his specific job.

At the very outset, every manager should clearly understand what his job really is. That it is to manage, to administer, to supervise.





These activities and these alone. Nothing more and nothing less. He needs to understand that he should assign all specific jobs, all specific tasks and functions to his subordinates. He retains none of these things for himself to do personally.

This failure, or refusal, to assign all tasks to others is one of the greatest of managerial deficiencies. The personal "doing" of individual tasks is not the manager's job. He must realize that his superiors not only do not expect him not to do these things but require that he not do them. The manager's job is to see that things are efficiently done by others. The manager's "work" is accomplished when the other people he directs get their jobs done efficiently.

Of course, there are times and circumstances when the manager must personally perform tasks in order to manage efficiently. This may be occasionally necessary in the interest of expediency or during emergencies. Infrequently, and usually to a very limited extent, the manager may decide to do an operation in order to maintain familiarity with it, or to check on the adequacy of a subordinate's performance. But he does the job for these purposes, and his work production in such instances is of secondary importance.

Occasionally too, certain types of personal performance by the manager will be required in order to meet the demands of the public, or of Congress, or of superior officials. Of course, such incidents are usually unavoidable, and are often desirable, but should never be permitted to dominate, or to encroach upon, the real management function.

There seems to be urgent need for full recognition of the fact that the manager's success is measured by the success of his people. That the manager's failures are measured by the failures of his people.





They share and share alike. That the job satisfaction and the achievements of one are shared in and enjoyed by the other.

In spite of all the things that we have said, it is not difficult to find people in management jobs who insist upon doing, or insist upon trying to do, lots of the work themselves. They will not delegate, adequately, to their subordinates. When any administrative official follows this practice he is not doing the work for which he is being paid. And the same thing is true of his people, although it is a situation over which they have no positive control.

There seems to be two fundamental causes of failure, of refusal, or reluctance to delegate. First, many of those individuals who are selected for managerial posts are chosen because of their demonstrated competence in personal doing. Second, after these "doers" enter managerial positions they are permitted to continue to be "doers" instead of managers.

Let us consider the first condition first. The fact that a person is fully capable of doing something is no indication whatever that he is fully capable of getting others to do that same thing or other things. There is as much difference between doing and getting others to do as there is between night and day. Actually, the ability to "do" indicates the possession of inherent characteristics which are likely to be somewhat in opposition to those required to get others to do. And not only that, but the fact that the ability to do has been demonstrated would indicate the probability of the presence of certain rather firmly established habit patterns which are very difficult to overcome. Then, the only logical conclusion seems to be that outstanding "doers" frequently prove to be less than capable managers.

Now, let us consider the second condition. When these "doers" become the directors of others, they frequently do not receive sufficient help to effect the adjustment to the new mode of operation that the new



assignment demands. They are permitted to continue to operate as they did before even though their new responsibilities are vastly different. Unless they are very exceptional individuals they need lots of help to make this radical adjustment. Unless they get the help they need, and their superiors are responsible for providing it, they will probably continue to operate very much as they did before. And their managerial competence will be characterized by mediocrity, or below.

Just a word now, about the "busy" executive. How often have you heard people in administrative jobs say that they are too busy to listen to the gripes of their people, too busy to handle a personnel problem, or too busy to confer with their staff? Too busy to plan their work, too busy to discuss management problems, too busy to see that their people are properly trained and developed, or just too busy, period? What these people are actually saying is that they are too busy to do their jobs. That they are too busy to manage because they are so busy concerning themselves with things that are properly the concern of someone else. The capable administrator is never too busy to concern himself with management affairs. He is never too busy to sit back now and then and think about his management problems because it is his job to think about his management problems. We can be reasonably certain that a too busy manager is not doing a very good job of managing.

It is not very difficult to identify the really outstanding cases of "non-delegators" which is just another way of referring to non-managing managers. An outstanding case in this respect comes readily to mind. The way the individual in question handled, or rather mishandled, one segment of his job serves to illustrate the mode of operation we are talking about.





This unit head was given the job of handling certain documents which were received in substantial numbers from various segments of the organization. Each of these documents had to be reviewed by qualified specialists, subjected to administrative approval consideration, and each one properly disposed of by informing the originating unit with the decision of the central office. Over a short period of time hundreds of these documents would be received. It was immediately obvious that the aggregate job of handling this material would require a considerable amount of time.

The supervisor of this unit was already hopelessly bogged down with lots of detail he refused to let anyone else handle. When this additional work started to flow in the supervisor acted as we might expect. He kept the job for himself. And the documents kept on pouring in. He would just get started working on them, reading every word of course, when some other trivial detail would show up and he would give all of his attention to that. But the new material kept piling up until he was hopelessly snowed under.

Of course, it soon became quite obvious that he would never get around to getting this new work taken care of. The big boss finally took it away from him and gave it to another unit. The supervisor gave it up with reluctance for he felt that he had fallen down on the job which, of course, he had. But apparently he never was able to determine just why.

This fellow worked very hard all day long and frequently well into the night. He had to because he was always behind in his work. For the reason that he spent most of his time on things that his subordinates should have done, and would have done had he given them the chance. His subordinates liked him as a person but they were constantly "on edge." They were not allowed to do very much and never had a chance to show what they really could do.





This man's boss referred to him as the "hardest working man I know." True, but spending his time doing the wrong things. The fellow needed help, and lots of it, to understand what his job really was. As is true of every manager, he needed to know "what not to do as well as what to do."

This case is, of course, a rather extreme one. But it is not particularly exceptional.

Then, of course, there is the other extreme. The administrator who delegates completely. This is the efficient one. We could cite a number of examples of this type also. Perhaps you are fortunate enough to have worked with some of them. The chances are good that you have worked for the other kind.

When the delegating practice is proper, subordinates are given definite responsibilities and definite authority. They know what they are expected to do, what they are authorized to do and they are held responsible for redeeming their responsibilities within the limits of their authority. They are never held responsible for anything over which they do not possess adequate authority.

These responsibilities and authorities represent the subordinate's prerogatives. And the capable manager respects those prerogatives. Subordinates know what the limits of their responsibilities and authorities are. And so does the boss, and their views are in complete agreement. The boss sees to it that those responsibility and authority limits are respected by the subordinate, by himself, and by others. The boss makes certain that both credit and censure are extended when and where they properly belong. These are the circumstances, with respect to the function of delegation, which must exist in order that a high level of managerial competence may be present.



Establish and Maintain Clear Official Relationships

This principle, this requirement, is closely related to the practice of effective delegation. It is a requirement that must be met in order for all other desirable supervisory practices to be truly effective. It represents the "follow through" phase which insures all those concerned being kept familiar with the conditions affecting them. "Management" can expect the organization's managers, its administrators, its supervisors, and its non-supervisors to conform to prescribed operating policy only when each of these people is kept fully informed of the provisions of that policy.

There are numerous examples of practices being followed to some extent, at least, which actually promote misunderstanding. Some of the most typical of these practices include periodic staff meetings with only a portion of the interested people present, with the decisions arrived at not passed on to those who were absent when the decisions were made. No formalized documentation of important and far-reaching decisions. Lack of application of and adherence to the basic decisions arrived at. These are only a few of the ways of doing things which are certain to cause a lack of full and complete understanding, and acceptance, on the part of those affected. Under such conditions as those just described, aggressive and inconsiderate employees are inclined to assume responsibilities which are not rightfully theirs. Practices are adopted which are in substantial disagreement with the vaguely presented policy. As a natural consequence, the people involved lose interest in their work and they lose respect for their organization and the people in it who represent the "management" element, and of which they themselves are often a part.

There are a number of very effective ways to make certain that everyone knows what is expected of him, how he fits into the total operation and





where his responsibilities and authorities start and end. Frequent and well organized and conducted group discussions, with all interested parties present, is one of the best ways. They may be called staff meetings, management conferences, administrative seminars or most any other name that is appropriately descriptive. Everyone present must have full opportunity to ask questions, to get complete answers, and to express his views completely. The highlights of each such discussion, and the important decisions that are arrived at, should be documented and provided to all others whose operations are in any way affected.

However, group conferences alone are seldom, if ever, entirely adequate. Organization charts with concise but accurate explanatory statements will do much to clear up, and keep clear, the understanding of the individual with respect to the official relationship of himself to others and of his unit to other units.

Policy statements, procedures, organization charts and other similar documents are essential but standing alone will do little to insure the existence of the proper situation. The most important thing is not the written policy but the "action" policy. No matter what is written, the "modus operandi," the actual day-to-day way of doing things is what really counts. There is no more effective way for any manager to convey prescribed policy, practice, and procedure than by demonstration. By example, by doing it himself the way it should be done. The guiding principle of every administrator should be "do as I do," not "do as I say, not as I do."

#### Line and Staff

Unless there is a clear understanding on the part of every employee of the prescribed line-staff arrangement, and unless there is adherence to





the prescribed arrangement there is certain to be confusion as well as misunderstanding and inefficiency. It is the responsibility of management, at all levels, to see to it that the relationship of each unit to each other unit is clearly defined. In turn, it is the responsibility of each manager, of each administrator, and of each supervisor, to make certain that his unit and the individual employees comprising it, operate strictly in accordance with the organizational arrangement that is prescribed.

Staff units, and all of the people in them, operate for the purpose of helping, of facilitating, the line to accomplish its mission. The line units have the responsibility for getting the job done, with the staff units helping the line get its job accomplished. But with the staff unit never assuming responsibility for line functions or taking over line functions, or accepting line responsibilities for certain functions even though the staff may, on occasion, actually perform those functions.

The difference in the responsibility and authority of the line and of the staff is very real. It should not be and is not difficult to understand. Nevertheless, in some organizations there are repeated encroachments, repeated violations, repeated usurping of the prerogatives of one by the other. And when this happens everyone loses. A few fundamental viewpoints must prevail and must be rigidly adhered to in order to avoid the deteriorating effects of failure to apply the basic line-staff principle. To illustrate, the line officer always has very definite responsibilities with respect to his subordinates. The line officer has as one of his primary responsibilities the development of his people, the proper training of his people. A staff unit or a staff officer should never assume this responsibility and the line should never relinquish it. The staff may and should help the line do this job but the line retains the full responsibility for getting the job done.



In brief, the line officer has all of the responsibility, not just part of it, for overseeing the activities of his subordinates, for supervising them. It is the responsibility of the line officer to see that the required policies are developed, and to see to it that the policies emanating from above are carried out. It is his function to make certain that the necessary instructions relating to methods and procedures are issued, and are followed. He arranges for the evaluation of subordinate performance, for giving deserved credit and approbation, and for reprimanding and administering other justified penalties. These functions should never be performed for the line by the staff and the line should not permit the staff to handle them. The assumption by the staff of these and other similar line functions will invariably result in difficulty for all.

However, in spite of the impropriety of such division of responsibility, it is somewhat surprising to observe the extent to which some organizations permit the occurrence of this sort of practice. For example, in some agencies it is the stated policy, and the prevalent practice, for designated staff officers to administer reprimands and other penalties to people in the line organization. In such situations it is the usual practice for the staff to perform the investigative and other similar preliminary work. There is no objection to this arrangement provided the responsibility is retained by the line and provided further that the staff participates in this way only with the frequency and to the extent that is obviously desirable in order appropriately to augment the efforts of the line. The arrangement is definitely improper when the line gives up any of its final responsibility and when such things are done by the staff in order that the line may get out of doing something that it needs to do in order to maintain its status in the whole scheme of things.





In the situations mentioned, where these operations are designated as staff functions, the scope of the practice is sometimes extended still further. Extended to the degree that the staff actually decides upon the disciplinary action, frequently of adverse character, that is to be taken. And not infrequently the staff goes still further. It actually takes the action. These practices should not be condoned, and certainly there is no justification for prescribing them.

Under such an arrangement as this the result is, of course, that every such act defeats the real purpose to be accomplished by the action. When the action is of an adverse nature, the recipient of the penalty is resentful, as he naturally would be. And the responsible line officer who permitted someone else to assume his responsibility loses stature and respect, as he naturally would. The practice is definitely improper. It serves to break down the kind of superior-subordinate relationship that is so necessary. And in all other respects it works counter to the type of management climate that needs to be developed and maintained.

Also, the framework of the organizational structure should not reflect the arrangement whereby staff officers are authorized to issue instructions, orders, and directives to officers in the line portion of the organization. Nevertheless, this is a condition which does prevail to some degree. It represents the prescribed way of operating. The results, of course, are obvious and they are inescapable. A basic principle of organization is being violated. The line officer has a boss in the line which is where the superior should be, and he has one or more bosses located in staff units. Instead of issuing positive orders and instructions the staff, which is vested with the authority of ideas, should furnish valuable aid to the line but the line should accept or reject at its discretion.





Naturally, the competent line officer will usually accept the suggestions of the competent staff officer. As well, a competent line officer will reject the suggestions of staff officers when the line official determines that such rejection is in the interests of the organization. The line is held responsible for making decisions such as this. That is what the people in it are being paid to do.

In order that both the line and the staff may carry out their respective functions in an efficient way, the line must be jealous of its prerogatives and should never permit the staff to assume the responsibilities of the line. By the same token, the staff must recognize its place and never accept line responsibilities even though the line may insist upon it. The responsibility for making certain that the staff stays in line, that the staff stays out of the line, is shared equally by both.

In brief, when the line allows the staff to assume line functions or when the staff usurps or accepts functions of the line, the organization is affected, adversely. And as the organization is made up of the two elements, the line and the staff, this means that each one will share in the disruption. The manager, whether he is a part of the line or a part of the staff, is responsible for preventing such a condition. He does this by making certain, at the outset, that the proper relationships are prescribed in the organizational structure and that the arrangement thus indicated is clearly understood by all who need to possess this knowledge. Then, he sees to it that there is appropriate conformance by exercising effective control, by deliberately checking, with sufficient frequency, to determine the extent of conformity, and by promptly correcting any departures that do occur.



MANAGERS NEED TO UNDERSTAND AND TO APPLY THESE

BASIC PRINCIPLES OF ORGANIZATION

A great many of the problems of the administrator, of the supervisor, stem from basic deficiencies in the organizational structure of his unit. There are numerous illustrations that could be cited to verify this statement. However, the mentioning of a few typical situations may help to point up the possible relation of the problem to specific organizational weaknesses.

For example, a supervisor may discover that the work of one of his subordinates is beginning to fall below an acceptable standard. By doing a little investigating it may be determined that another line officer or a staff officer has begun issuing orders to this subordinate.

When a line administrator finds that he is losing control of his subordinate force, it may be discovered that a staff unit is performing functions which are properly those of the administrator and the members of his unit.

When a manager's subordinate force is getting out of hand, when he is unable to coordinate their operations effectively, it may be determined that the subordinate force is excessive in number under the conditions that exist.

When the administrative official is confronted with these or other similar administrative problems it is always possible that faulty organization is the basic cause. And that is the place to look to first. Of course, such conditions are not always attributable to organizational weaknesses. But the chances are about even that the difficulty was created by reason of the way in which the outfit is organized. And in view of that possibility any manager will act wisely if he takes a look at the basic structure of the organization before pinning the blame on one or more of his people.





For he may find that his people were conforming with the provisions of an organizational policy which literally required them to operate in a manner in conflict with sound practice.

From our consideration of the area of organization it becomes immediately evident that every manager needs to be intimately familiar with these basic principles. He needs, as well, to be able to apply them effectively, to recognize the desirable results of their application, to recognize the typical effects of their violation, and to know what to do to bring about appropriate modification of the basic structure. The area of organization is so very important that every administrator must, if he is to be fully successful, devote much of his time to its study. Efficient organization is one of his important official functions, something he is responsible for doing effectively, as an integral part of his day-do-day job.

#### THE NEED FOR GOOD COMMUNICATIONS

The manager may recognize what his subordinates need to know in order to perform their functions efficiently. The manager may know the field of organization, he may know what constitutes effective delegation, he may understand what is needed to insure the presence of proper official relationships. He may know how to plan the work, how to control going operations, how to develop his subordinates, and how to deal with problem situations. But only to know is insufficient.

The manager must be able to impart his knowledge, his viewpoints, his instructions. He must be able to create a general climate which insures a condition whereby each member of his unit will know and understand the things he needs to know and understand. In addition, the





the manager must be able to make certain that his people will know and understand the things they want to know which they have a right to know.

But the flow of knowledge, of information, and of official mandates from above to those below is not enough. The most valuable source of information rests below. That resource needs to be utilized fully if the enterprise is to be entirely successful. The utilization of this resource cannot be accomplished through rule and regulation. People cannot be forced to contribute their ideas, their suggestions, and their viewpoints. By comparison, this flow from below is considerably more important than the flow from above. The condition that is necessary may be established only when management creates the kind of climate, the kind of individual understanding and acceptance on the part of everyone, which results in free expression by all and by furnishing the continuing assurance, in the form of action, that this upward flow is and always will be unimpeded. When such a condition as this is present a state of good communications exists.

Because the effectiveness of individual effort on the part of every individual in the chain of command is dependent upon the effectiveness with which that effort is transmitted, and is received, this so important area of communications will be dealt with in detail in the next section.



UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
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CORRESPONDENCE COURSE-MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 6

BASIC REQUIREMENTS IN ORGANIZING

WORK ASSIGNMENT

- A. Describe in some detail three serious management problems which, in your opinion, were caused by organizational deficiencies. If possible, use actual cases but do not reveal identities. Be certain to describe situations which existed by reason of the manner in which the operation was organized. Do not relate conditions which were the result of managerial failure to conform to prescribed policy or practice.
- B. For each of the problem situations you described under "A" above, explain first, the basic principle or principles that were violated, and second, the action you consider appropriate in an attempt to effect complete remedy.
- C. In your own words, explain three of the basic principles of organization which you consider to be particularly important.
- D. Explain why it is so important that each employee receive instruction from only one superior.
- E. Assume that you are a manager responsible for three line operations and three staff operations. Each of the six subordinate units is the in the charge of an officer who serves as your immediate subordinate. The activities of all six units are closely related and need to be





well integrated. You discover that all three line operations are falling behind schedule because officials of two of the staff units are issuing conflicting orders to the three line units. Describe the corrective measures you would take.





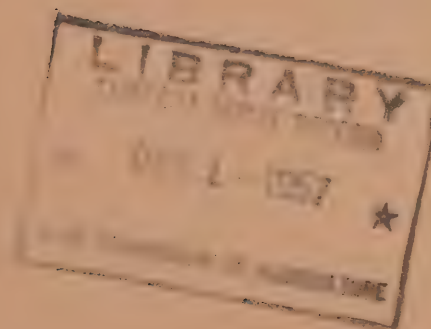




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SECTION 7  
EFFECTIVE COMMUNICATIONS

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WASHINGTON, D. C.  
1957





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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 7 - EFFECTIVE COMMUNICATIONS

What do we mean when we talk about good communications? Why are we concerned about having good communications? What do we do to keep our people informed? Are our communications effective when there is any obstruction in the flow of information from subordinate to superior?

These questions, and many others that are similar, are ones which the individual responsible for directing a group of subordinate employees must provide definite answers. This individual may be the top administrator, or a department head, or a first line supervisor. But without regard for the managerial level he occupies these questions are constantly causing him concern. And this concern is justified. For he wants his subordinates to conform to policy, to follow established procedure, to accomplish a certain amount of work, to turn out work that is of acceptable quality, and in other respects to operate efficiently. But the members of the subordinate staff cannot do all of these things, cannot perform as the manager wants them to, unless they possess certain information and unless they understand the information provided to them.

They need to have sufficient knowledge of the work they are held accountable for, of how that work is to be done, and of the responsibility and the authority they have with respect to their individual jobs and to other members of the organization. It is the manager's job to see to it that the policies and practices that are established, and the manner of application



of those policies and practices, are thoroughly understood by his subordinates. The manager is responsible for identifying those things that his subordinates need to know and are expected to do, and must operate so that they will know and will do the things for which they are responsible.

It is not too unusual to hear someone make this general statement: "What they don't know won't hurt them." There are, of course, circumstances under which this is true. But the modern-day administrator who entertains such a view, and operates according to that belief, will find it very difficult to obtain fully efficient performance from the members of his subordinate force. While the effects of such an attitude would prove to be disconcerting with respect to the administrator himself, the disturbing influence exerted upon his subordinates might well prove to be almost intolerable. The competent manager is the one who operates according to the belief that "What they don't know will hurt them."

#### What Do We Mean by Effective Communications?

We might briefly define communications as the sharing of knowledge. Certainly, very few employees are so unreasonable as to believe that they should be kept more fully informed than the boss. But most every employee does want to know what his boss knows. And the average employee wants to be certain that the boss is not holding out on him. We might say that the subordinate wants to know what his boss does not know. Unless the administrator recognizes this fact he will be inclined to think, at times, that he has no information his subordinates want to have or should have just because he "knows nothing new." This attitude may not be confined to the first line supervisor. High level administrators are just as susceptible to the same erroneous viewpoint.





The members of any organizational unit want to know what their boss knows about matters of proper concern to his people. They want to be kept up-to-date with respect to the current state of affairs. No administrator can afford ever to lose sight of the fact that subordinates need to be told something, need to be told something currently, even though the something they are told may merely be that there is no new information available.

Just to show how easily a high ranking administrator can fail to recognize the importance of keeping his staff currently informed, we will describe a situation that actually occurred. It happened that a large agency was scheduled to undergo a rather radical reorganization. The head of the agency was authorized to effect the reorganization but naturally, it took some time to work out all of the details.

From the time the reorganization was authorized until it was put into effect a period of several months elapsed. During this interim period a condition of "status quo" existed. Many operations were slowed up and very few of the organization's officers were willing to start on anything new. This condition was not particularly disturbing at the start. But as time went on and nothing happened the members of the organization became more and more frustrated.

As is so often the case under circumstances such as these, a great many rumors got started. Many of them were pretty bad. And almost all were without foundation. Whenever any authentic information was released, which was not often, it was usually so general or so insignificant that the tension was eased but little, if at all.

Of course, everyone wondered if his outfit would be abolished, if he would be demoted, if he would keep his job, or just what would happen.





The self-opinionated individuals imagined all sorts of things and so did the ones with inferiority complexes. The former were convinced that they would be promoted and the latter thought that they would be lucky to hold on to their jobs. There was considerable sparring for position, to try to lay the ground-work for desirable assignments, and that sort of thing. This all took a lot of everyones's time and contributed substantially to the rumor material which never, at any time, was in short supply.

The organization involved was a sizeable one, made up of quite a number of large operating units each one of which was headed by a relatively high-ranking official. After the state of suspense had built up for some time one of the unit heads expressed his views about the situation to a group of administrators who were also involved, most of whom directed subordinate units of considerable size. This unit head explained that he did not know what was going to happen, did not know what form the new organization would take or how it would affect his part of the organization. He indicated that as a result of the general state of uncertainty some of his good people were leaving and that morale was at an all-time low. He went on to explain that while he regretted the situation there was nothing he could do to help it. He further indicated that he had not had a meeting of his people for months, that because he did not know what was going to happen he hadn't told his people anything. He said he had nothing to tell them so there was no reason for getting them together to tell them nothing.

How wrong he was. He told his people nothing. And because of that they naturally thought that he had information which they wanted, and had a right to have, but that he was holding out on them. This administrator failed to recognize that people want to be kept currently informed, want to know the true situation, want to be told by the boss that he knows nothing new or different if that is the case. Had this official realized this he would



have gotten his people together at fairly frequent intervals and brought them up-to-date. He would always have been able to tell them something, even though it was only that nothing new had developed. Then, they would have been "up-to-date" and would have had the satisfaction of knowing that they knew as much as their bosses knew about the situation of mutual concern. And most important of all, any suspicion that the boss was holding out on them would have been eliminated.

There is no way of determining, of course, just how much loss was incurred because of this condition. However, it is highly probable that the cost in lowered efficiency, in time wasted in talking about the unknown, and in the loss of qualified people was not negligible. Of course, all of this loss could not have been prevented. But a considerable part of it could have been by the simple process of recognizing the need for keeping employees up-to-date on matters of concern to them. When this administrator operated in this manner he demonstrated a rather serious deficiency. He is not entitled to all of the blame, however, as he too had a boss.

#### It's a Two-Way Street

Employees not only want to know what is going on but they also want to be able to have someone to whom they may express their individual views. Most employees are willing to do considerable listening, but they want, and need, to do some talking as well. It is imperative that the manager be a good listener. For the chances are excellent that he will benefit much more from what he hears than from what he says.

Any employee derives a great deal of satisfaction from "telling the boss what I think." And the organization derives considerable benefit, too. A highly successful administrator once expressed the view that some good comes out of ninety percent of employee gripes. He went on to say





that if his employees didn't do quite a bit of griping his outfit would probably fail. He was convinced that when workers "sound off" it shows that they are thinking, that they are thinking about and are interested in, their work. And that when they stop talking, stop offering their suggestions and frank criticisms, something is really wrong. And that something, some of the time, at least, is management.

Managers whose views are in conflict with those expressed by this individual should be able to learn a valuable lesson from what he had to say. They should realize that they cannot find out what their subordinates are thinking unless they are treated in such a way that they will talk, will express themselves freely. The capable administrator is always anxious for the chance to listen. For when he does, he is benefiting from the knowledge and experience of his staff, of a group of people with collective knowledge and experience often many times greater than his own. If the manager is not willing to listen because he thinks he is too busy, or thinks he already knows all the answers, he is losing out on one of the most valuable assets at his disposal. He is creating a climate which is in conflict with the fundamental processes which represent the most certain means of assuring harmonious and effective effort in any cooperative enterprise.

The manager is responsible not only for evidencing a willingness to hear his subordinates' views, but, in addition, it is his responsibility to develop a relationship which will insure the free and complete interchange of views within and between all levels. The subordinate force represents the manager's most important resource. It is the function of every manager to utilize that resource fully. An acceptable degree of utilization is impossible when subordinates are unwilling to express themselves, to the boss, fully and frankly. And it is equally impossible when subordinate





expression is suppressed, or is tolerated but disregarded. The developing and maintaining of a suitable climate which insures freedom of communication in both directions is one of the first requirements for successful management. It represents a necessary basic foundation on which the effectiveness of virtually all administrative activities is dependent.

### WHY SHOULD EMPLOYEES BE KEPT INFORMED?

Every employee wants to feel that he "belongs" to the organization. That he is not an outsider, but is an integral part of the group and the group effort. Without this conviction he cannot be adequately interested in the objectives of the organization or in the job he is doing. For it is incontestable that the efficiency of any employee is influenced, to a considerable degree, by the degree of interest in his work.

Employees want to be proud of the outfit they work for. They want to be able to talk about it intelligently, to explain what it is, what it stands for, what it is accomplishing and how it contributes to the interests of the community in which they work and live. They want to be convinced themselves, and they want to be able to prove to others, that the organization they represent compares favorably with others.

Employees need to know what the end products are and how the operations they perform fit into the total picture. They want to feel that they as individuals, are making real contributions to the total effort, that they may justifiably experience a sense of worthwhile accomplishment from their work. Actually, a real sense of accomplishment, often referred to as job satisfaction, is an essential requirement for every normal person. It is something he must have. Something that he has a right to expect from his work assignment. If the job does not provide this need he will attempt to



obtain it elsewhere, frequently at the expense of the job.

### Fear of the Unknown

It is a well established fact that the average individual fears that with which he is not familiar, fears the unknown. He is inclined to be apprehensive about that which he cannot see, that which he is unfamiliar with, and that which he cannot adequately provide for. So long as this fear is present it will exert a definite influence upon many aspects of the individual's existence, upon the efficiency with which he does his particular job.

It seems evident then, that in the work situation it is imperative that, in the interest of efficiency, the extent to which the individual experiences a feeling of apprehension be reduced to the absolute minimum. One of the most effective ways of accomplishing this is by reducing the unknown, by avoiding those circumstances which tend to produce a state of uncertainty. Under normal circumstances such a condition may be readily established and maintained merely by management's insistence that the members of the organization be kept currently informed about the things they need to know and about the other things they desire to know that they have a right to know.

### Benefit From Every Problem

In some organizations it may appear to be the too general opinion that problem situations should be disregarded as long as possible. That they should be kept under cover, should be dealt with in the easiest and quickest way and should be hushed up quickly and completely. Just why it is that a somewhat greater than negligible number of managers seem to think this is the proper way to do things almost defies explanation. Possibly they have convinced themselves that they are justified in trying to convince others of their infallibility. Possibly they believe that any





evidence of deficiency, any revealed difficulty, would reflect detrimentally upon them as individuals. Perhaps they have been able to convince themselves that they are perfect and believe that the surest way to maintain that exalted standing is to hide questionable happenings from all others. Any individual occupying a management position who entertains a viewpoint such as this one can hardly be classed as a fully competent manager.

The manager who is truly successful recognizes that the administrative problems confronting him represent one of the most valuable resources on which to base progress and improvement. He is aware that virtually all technological advances came about because certain individuals faced up to the specific difficulties they encountered and were able to effect improvements through their forthright and deliberate efforts to overcome those difficulties. History has repeatedly proved the validity of this concept. The Wright brothers, Pasteur, Edison, and many others were able to make contributions of inestimable value because they used to the fullest advantage the individual failures they encountered in their efforts to achieve certain specific goals. This same basic philosophy is equally applicable in the management field.

Every management problem should be used to the fullest extent to improve upon or to eliminate the underlying condition which caused it. Such utilization is possible only when the circumstances are thoroughly analyzed, when contributing deficiencies are identified, when appropriate remedial measures are decided upon, and when the actions that are determined to be proper are applied to the fullest extent feasible. Optimum results in this regard are possible only when all the people who are able to contribute to the solving of the problem and those who may derive benefit from the solution are given adequate information as well as appropriate opportunity





to participate in the problem solving effort. When this type of arrangement represents the standard routine practice, it is highly probable that an effective state of communications exists within the organization.

The realization that management should utilize problem situations, not suppress them, was demonstrated very vividly by an actual incident. It may be well worth describing. A financial institution suffered a substantial loss as a result of general auditing practices which could be classed only as of rather perfunctory character. The aggregate loss was made up of a series of individual shortages which accumulated over a period of some time. It is reasonable to believe that adequate controls would have revealed the true situation at the very beginning. Or possibly such controls would have served to prevent the situation from ever getting started. When the incident, which was of serious proportions, was revealed publicly, officials of another large and entirely disassociated organization engaged in similar operations concluded that they might be able to benefit from a thorough study of this case. Accordingly, these high level officers, and a great many others in their management force, conducted a complete analysis of the case in question. Obviously, the cost of this operation was by no means trivial. They compared the underlying causes of the situation with the practices in their own organization and were thereby able to identify weaknesses in their operations which were in need of attention.

This one illustration may be exceptional, with respect to the frequency with which such a practice is followed. Or it may be more commonplace than we are inclined to think. But it does serve to substantiate the real necessity for the manager to take full advantage of, to fully utilize, each problem area that develops.



A Clear Understanding of His Job and His Place in the Organization

Effective communications are imperative to make certain that each employee knows what is expected of him. To insure his understanding of how to do his job, where he fits into the organization, and what his relationships are with respect to his boss, his subordinates, and his co-workers. Any uncertainty on the part of each individual employee by reason of his not knowing or his not understanding is certain to produce results which will, sooner or later, fall below the level of efficiency which would otherwise be attainable. It is the responsibility of each manager to make certain, beyond any question of doubt, that each of his subordinates does know and does understand the things that are mutually considered to be necessary in order that influences of this character will not serve detrimentally to effect the official performance of the individual.

THE EFFECTS OF POOR COMMUNICATIONS

There are numerous underlying causes for communications weaknesses and failures in any type of organization. Too limited documentation of statements of policy and practice, disregard for the chain of command, deliberate suppression of free expression, sub-standard supervision, haphazard inspection methods, the absence of adequate and clear policies, and faulty reporting are just a few of the conditions which prevent employee groups and individual workers from possessing the information and understanding that is necessary. The most atrocious practice, of course, is that of deliberately suppressing information of a non-sensitive or non-confidential nature which should be made generally available to those who need or are interested in having such information.





People Do Find Out

When information which employees should possess is not furnished to them the inevitable is almost certain to occur. The individuals concerned become aware that they are not being properly apprised of the things they should know and have a right to know. They immediately set about attempting to acquire the information that they know exists but which they do not have and which they believe, often with full justification, that they are entitled to. In such attempts it is not unusual for fact to be supplanted by fiction. Rumors are started and they soon are accepted as being authentic.

It is frequently extremely difficult, and sometimes impossible to repair completely the damage produced by the misinformation that was accepted because the true facts were not made known. And these disruptive effects are not temporary. Much time and effort are frequently required to restore the respect and confidence that was lost. It might be well for responsible management officers to accept and operate under the principle that "the truth is seldom as bad as a rumor usually becomes."

With the obvious exception of material that is sufficiently sensitive to be "classified," the great majority of the information which is suppressed, deliberately or otherwise, is of the type that should be given general publicity. This fact is usually recognized by some members of the organization who are "in the know." As a consequence, many of these attempts at unjustified secrecy are frequently not entirely successful. Some of the information is almost certain to leak out sooner or later, and often the leak occurs more frequently than one might anticipate. The unfortunate aspects of this sort of a condition are that the information is then coming from the wrong source. It is often very incomplete and sometimes quite distorted.

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But the most unfortunate consequence of all is the fact that those who should have been informed forthrightly, in the first place, are inclined to lose respect for those who attempted to maintain some degree of secrecy.

The "manager" who operates according to this type of secrecy theory should not find it difficult to see the wisdom of revising his tactics. If for no other reason he should realize that his people are going to find out anyway so he might as well see that they get the straight story in the first place. Experience has rather conclusively proved that absolute secrecy within an organization may be maintained only with a highly efficient "security force." And it is generally understood, of course, that there are relatively few circumstances under which such measures are justified.

#### Policies and Instructions Clear and Adequate But Not Excessive

The lack of definite policies and the presence of inadequate or incomplete operating instructions are conditions which are certain to result in lowered efficiency. At the same time, the instructions that are provided, particularly those relating to managerial and high level staff positions, should not be so detailed, so specific, and all-inclusive that the challenge to exercise individual initiative is reduced to any appreciable degree. For under such circumstances, the individual employee will be deprived of something that must be present if he is to perform at an efficiency level that is acceptable to him and to his superiors. He is then deprived of the opportunity fully to display originality and creativeness, to utilize and demonstrate his resourcefulness, his knowledge, his skills, and his other individual capabilities. The individual worker may, when subjected to too much of this sort of "management" become a virtual puppet, concerning himself only with the discovery of an instruction which always tells him what he can do, what he cannot do, and how he should do everything that he



does. It might be well for us to pause at this point long enough to recognize that this method of operating is working at opposition to the primary function of the manager, that of developing and utilizing fully the human resource over which he has been given jurisdiction.

#### WHAT DO THE MEMBERS OF AN ORGANIZATION WANT TO KNOW?

Employees want to know all they need to know about their jobs in order that they may perform in a manner that is fully acceptable to them and to their bosses. They want clear instructions as to what is expected of them. They want to understand where they fit into the total enterprise, what the purposes and objectives of the organization are, and how they, as individuals, contribute toward the attainment of those objectives. They want to know about the broad basic policies which apply to everyone, the policies that are reasonably permanent, the ones they can rely upon.

All employees, at all levels, are particularly interested in the privileges and the rights to which they are entitled as individual members of the organization. They want to be, and need to be, fully familiar with such things as leave privileges, insurance benefits, retirement plans, and the like. They need this information in order that they may do the best possible job of planning their mode of living. And management needs to recognize that employees should have and use this type of information because of the very real relationship of the individual's private life to his acceptability as a worker.

#### Consideration Of Individual Ambitions And Preferences

It is probably evident to everyone that every individual has certain career objectives. And each one is desirous of being given the opportunity, and a reasonable amount of assistance, to attempt to reach the goal he has





set for himself. Of course, but few individuals can do an entirely acceptable job of setting reasonably attainable goals without the help of those who are in a position to give the kind of help that is needed. And the people who are in a position to help the individual work toward the objectives decided upon need to be intimately familiar with those objectives. They need to be kept currently informed and promptly apprised of any changes, with respect to the views of the individual, which would serve to affect in any way the original understanding. This means, of course, that the closest relationship must exist at all times between the individual employee and his boss. The free exchange of the kind of information that is needed by both must take place in both directions. Full responsibility rests with neither, it is shared about equally by both.

The individual employee wants to be kept fully acquainted with available career opportunities and he wants to know about the considerations he may expect to receive to permit him to acquire him new and broader experiences in training which will equip him for more responsible assignments and and for those that he considers to be more desirable. And specifically, he wants to be kept currently aware concerning advancement opportunities that exist, or may develop, for which he may be qualified. His primary concern is that he will not be overlooked, that he will receive proper consideration, in connection with more satisfactory assignments for which he may possess the required qualifications. To be deprived of such consideration is most disturbing to any employee at any level.

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### Assurance Of Consideration

The number of individuals who are sincerely desirous of being given assignments for which they are clearly not qualified, or for which there are others in the "area of competition" who are obviously better qualified, is in the minority. It is true, of course, that there is this minority group. And those people need to be identified. But the concern, the problem, with relation to them, goes much deeper than the area we are considering right at this time. For the ones who entertain such an attitude, who want something to which they are not entitled, usually possess certain other characteristics which need looking into rather thoroughly.

But the vast majority entertain much more considerate views. They want nothing to which they are not entitled, but they do want something else. They want complete assurance that they will always receive full and impartial consideration for more desirable assignments, as they become available, for which they may be qualified. Certainly, the propriety of this view cannot be challenged.

This feeling was expressed most forcibly in an incident which occurred several years ago. It was the standard practice in a particular organization to give wide publicity to each vacancy in order that all who were interested and possibly qualified might request and receive consideration for the job. This practice was rigidly adhered to with, of course, highly desirable results. All applicants received full consideration, were informed of that fact, and were promptly apprised of the outcome, regardless of whether or not they were selected. As a result, previously unidentified talent was brought to light and everyone concerned was particularly pleased with the practice that was followed. They were pleased because they knew they were receiving consideration and, with but negligible exception, they were



convinced that the decisions arrived at were fair, were in the best interest of all concerned.

However, as a result of a misunderstanding one secretarial vacancy was filled by promotion without advance publicity. As a consequence, one young lady employee was greatly disturbed. We will call her Betty, for the reason that that was her name. Betty informed her supervisor, in no uncertain terms, that the recently filled secretarial vacancy had not been publicized, and she wanted to know why. He explained that it was due entirely to an oversight, that it was a mistake which he regretted, and that he would do everything that he could possibly do to prevent a recurrence. Betty indicated that the incident displeased her greatly as she considered herself to be well qualified for the job. The supervisor again expressed regrets for what had happened and then said that while he knew she was especially well qualified for that particular job he was surprised to learn that she would have taken the assignment had she had the opportunity. Her reply effectively exemplified the feeling of the average employee. Betty said, "I didn't want the job. But I did want the chance to turn it down." Without doubt, Betty expressed the feelings of most everyone of us. We want positive assurance that we will be considered, that we will not be overlooked.

#### Deliberate Suppression Of Information

There is a clearly unjustified and vicious practice that is sometimes followed, possibly too often, which seems to defy explanation. We refer to the practice of attempting, deliberately, to keep information about promotion opportunities from eligible candidates. Of course, attempts to keep this kind of information covered up are seldom fully successful. But it is done with sufficient success to deprive individuals of the opportunities to which





they are entitled. In the same category is the reluctance, or down-right refusal, to "release" a deserving and qualified employee to permit him to accept a more desirable assignment.

It is not just difficult, it is impossible, to understand the thinking that precedes such tactics as these. Certainly, the thinking, if it exists at all, is alarmingly superficial. It is hardly conceivable that any administrative official would believe that any individual would respond favorably to such treatment, would believe that anything good could come from it. No capable administrator would tolerate such a practice and any officer who would indulge in it should be an outstanding candidate for extended assignment to work of non-supervisory character, and possibly below a level of major importance

#### A Liberal View About "Unofficial" Information

Occasionally, there are attempts to justify failures to supply appropriate information to the members of an organization by claiming that the information is not sufficiently official in character. At times, this represents nothing more than convenient rationalizing as a means of avoiding the issue, and not infrequently it reflects the presence of some lack of concern on the part of the management force. The real test for determining whether or not information should be imparted to employees is present in this one question. Will the lack of this knowledge adversely influence the employee's attitude toward his work and the organization?

Without any particular effort, we are able to recall two instances of this nature. Both of them occurred in large organizations. The first related to the determination of the policy to be followed in the administering of an activity of considerable personal concern to each individual employee. As is so often the case, several other organizations were active





participants in the determination of the overall policy that would apply and in deciding upon the general practice that would be followed. Deliberation with respect to such policy and practice formulation continued for a period of nearly a year. In spite of the fact that the employee force represented the group of primary concern, such employees were not given the opportunity to participate in policy determination nor were they given current information as to the plans under consideration. Possibly the activity was at that stage considered as being of unofficial character. It should not have been particularly difficult to resolve this particular question. For, as we mentioned before, the people affected the most were the employees. And when the time came for the activity to be put into operation, in accordance with the plan decided upon by management, the operation took on a very definite official status. By then, of course, the damage had already been done.

The other incident which also occurred in a very sizeable organization was quite similar. It involved a matter of vital concern to virtually every member of the organization. For positive action, or lack of positive action would influence, to no small degree, a number of important features relating to the job of each individual member of the organization.

For a considerable period of time but negligible official information of any character was provided to the vast majority of people having the greatest interest. During that period it is possible that some such information was received by a limited number in the upper management levels. If information of any consequence was possessed there, but little was passed along to those below. As a consequence, it would be impossible to estimate with any degree of accuracy, the value of the time that was spent in discussing this subject. Suffice it to say that the cost, in hours and



dollars, of the time and effort devoted to conjecture and to uncoordinated investigation of the never-ending round of rumors was very substantial.

After the elapse of a considerable period of time it finally appeared that the materialization of that which had been pending so long had become a strong possibility. We say appeared for the reason that indications in this direction started to make their appearance in the local press. It is not difficult to visualize the effect of such sketchy but seemingly positive information upon the group of employees who were most concerned. Neither is it difficult to visualize the kind of rumors that began to take form, or the tremendous amount of time expended in the creation and dissemination of those rumors. During this entire period the stories in the public press represented the only source of information available to the members of the organization who would be so vitally affected by the outcome.

There was no opportunity to check the accuracy of the limited information which did become available in this way. Besides, such information was far from complete, making it necessary for the individual to piece together the unofficial statements which were alleged to be true and the unauthenticated and often conflicting but profuse rumors in an attempt to arrive at something resembling the whole picture of the situation. Even though the matter was entirely official in character and was of deep concern to every employee, virtually no official information was given to the people who wanted the true facts and who were entitled to them.

How much better it would have been for all concerned, for the entire organization, if management had followed the practice of keeping everyone currently advised of developments as they occurred. The cost of doing this would have been of no consequence in comparison with the loss of production which took place merely because the information the people





had a right to receive was not provided to them. And, another inevitable consequence of failure to communicate with thoroughness and in a forthright manner, was the creation of the rather general belief, justified or not, that management was not sufficiently concerned with the interest of the individual employee. And people began to wonder, too, whether or not other information they desired to have, and had a legitimate right to have, was being withheld from them.

Certainly, there is much to be learned from instances similar to those we have just cited. The average employee wants to know about organizational changes, and particularly those which may affect him and others with whom he is acquainted. He wants the opportunity to take a part in determining policy and practice, especially if he or his operations will be influenced to any substantial degree. He wants to feel confident that his boss is keeping him up-to-date about the things he should know about. He wants to communicate his ideas to his boss and he wants his boss to listen and respect his views. He wants a chance to be heard.

#### How Much Information To Provide?

There needs to be general recognition and acceptance of the fact that a fully informed employee is certain to be a more valuable employee. In some organizations this does seem to be fully recognized. In others it does not appear to be. And some organizations assume and carry out this responsibility with real effectiveness because there exists the clear understanding that the cost of doing it is trivial in relation to the benefits produced. However, before a good job can be done there must be realistic acceptance, by management, of the job to be done and the facilities that are required to do a good job must be provided.





The questions which always need answering first, before a logical communicating policy and practice can be decided upon and installed, are those of how much information and what kind of information should it be the standard practice to make available. The practice that is sometimes followed of "surveying" employee views to determine the answers to these questions may be of some help, but certainly they are not of as much value as there seems to be a tendency to believe. For employees could hardly be expected to provide complete information as to their desires in this regard in view of their inability to foresee many of the developments that may occur in the future. Also, matters of primary concern to each individual are far from identical. For individual interests are influenced considerably by such factors as age, career objectives, the character of official functions performed, responsibility level occupied and the like. The results of such surveys, particularly where a sizeable employee force is involved, will reflect a great variety of individual reactions. Considered separately, a great variety of interests and concerns will be brought to light. But considered collectively, in the aggregate, the expressed views will almost always conform to a fairly definite and quite uniform pattern.

It is very difficult, of course, to determine with any degree of precision just how much information it should be the standard practice to furnish to members of an organization. It is usually safest, and the best way in the long run, to furnish a little more than appears necessary, rather than a little less. The extra will do no harm, while too little may well produce a condition that is less than entirely acceptable. The basic objective is always to eliminate any question in the employee's mind as to

The following is a list of the names of the persons who have been admitted to the office of the Secretary of the Board of Education since the last meeting of the Board. The names are arranged in alphabetical order.

1. Mr. John A. Smith

2. Mr. James B. Jones

3. Mr. William C. Brown

4. Mr. Charles D. White

5. Mr. Thomas E. Green

6. Mr. Robert F. Black

7. Mr. Henry G. Gray

8. Mr. George H. Pink

9. Mr. Richard I. Blue

10. Mr. Daniel J. Yellow

11. Mr. John K. Purple

12. Mr. James L. Red

13. Mr. William M. Orange

14. Mr. Charles N. Green

15. Mr. Thomas O. Blue

16. Mr. Robert P. Yellow

17. Mr. Henry Q. Purple

18. Mr. George R. Red

19. Mr. Richard S. Orange

20. Mr. Daniel T. Green

21. Mr. John U. Blue

22. Mr. James V. Yellow

23. Mr. William W. Purple

24. Mr. Charles X. Red

25. Mr. Thomas Y. Orange

26. Mr. Robert Z. Green

27. Mr. Henry AA. Blue

28. Mr. George AB. Yellow

29. Mr. Richard AC. Purple

30. Mr. Daniel AD. Red

31. Mr. John AE. Orange

32. Mr. James AF. Green

33. Mr. William AG. Blue

34. Mr. Charles AH. Yellow

35. Mr. Thomas AI. Purple

36. Mr. Robert AJ. Red

37. Mr. Henry AK. Orange

38. Mr. George AL. Green

39. Mr. Richard AM. Blue

40. Mr. Daniel AN. Yellow

41. Mr. John AO. Purple

42. Mr. James AP. Red

43. Mr. William AQ. Orange

44. Mr. Charles AR. Green

45. Mr. Thomas AS. Blue

46. Mr. Robert AT. Yellow

47. Mr. Henry AU. Purple

48. Mr. George AV. Red

49. Mr. Richard AW. Orange

50. Mr. Daniel AX. Green

51. Mr. John AY. Blue

52. Mr. James AZ. Yellow

53. Mr. William BA. Purple

54. Mr. Charles BB. Red

55. Mr. Thomas BC. Orange

56. Mr. Robert BD. Green

57. Mr. Henry BE. Blue

58. Mr. George BF. Yellow

59. Mr. Richard BG. Purple

60. Mr. Daniel BH. Red

61. Mr. John BI. Orange

62. Mr. James BJ. Green

63. Mr. William BK. Blue

64. Mr. Charles BL. Yellow

65. Mr. Thomas BM. Purple

66. Mr. Robert BN. Red

67. Mr. Henry BO. Orange

68. Mr. George BP. Green

69. Mr. Richard BQ. Blue

70. Mr. Daniel BR. Yellow

71. Mr. John BS. Purple

72. Mr. James BT. Red

73. Mr. William BU. Orange

74. Mr. Charles BV. Green

75. Mr. Thomas BW. Blue

76. Mr. Robert BX. Yellow

77. Mr. Henry BY. Purple

78. Mr. George BZ. Red

79. Mr. Richard CA. Orange

80. Mr. Daniel CB. Green

81. Mr. John CC. Blue

82. Mr. James CD. Yellow

83. Mr. William CE. Purple

84. Mr. Charles CF. Red

85. Mr. Thomas CG. Orange

86. Mr. Robert CH. Green

87. Mr. Henry CI. Blue

88. Mr. George CJ. Yellow

89. Mr. Richard CK. Purple

90. Mr. Daniel CL. Red

91. Mr. John CM. Orange

92. Mr. James CN. Green

93. Mr. William CO. Blue

94. Mr. Charles CP. Yellow

95. Mr. Thomas CQ. Purple

96. Mr. Robert CR. Red

97. Mr. Henry CS. Orange

98. Mr. George CT. Green

99. Mr. Richard CU. Blue

100. Mr. Daniel CV. Yellow

101. Mr. John CW. Purple

102. Mr. James CX. Red

103. Mr. William CY. Orange

104. Mr. Charles CZ. Green

105. Mr. Thomas DA. Blue

106. Mr. Robert DB. Yellow

107. Mr. Henry DC. Purple

108. Mr. George DD. Red

109. Mr. Richard DE. Orange

110. Mr. Daniel DF. Green

111. Mr. John DG. Blue

112. Mr. James DH. Yellow

113. Mr. William DI. Purple

114. Mr. Charles DJ. Red

115. Mr. Thomas DK. Orange

116. Mr. Robert DL. Green

117. Mr. Henry DM. Blue

118. Mr. George DN. Yellow

119. Mr. Richard DO. Purple

120. Mr. Daniel DP. Red

121. Mr. John DQ. Orange

122. Mr. James DR. Green

123. Mr. William DS. Blue

124. Mr. Charles DT. Yellow

125. Mr. Thomas DU. Purple

126. Mr. Robert DV. Red

127. Mr. Henry DV. Orange

128. Mr. George DW. Green

129. Mr. Richard DX. Blue

130. Mr. Daniel DY. Yellow

131. Mr. John DZ. Purple

132. Mr. James EA. Red

133. Mr. William EB. Orange

134. Mr. Charles EC. Green

135. Mr. Thomas ED. Blue

136. Mr. Robert EE. Yellow

137. Mr. Henry EF. Purple

138. Mr. George EG. Red

139. Mr. Richard EH. Orange

140. Mr. Daniel EI. Green

141. Mr. John EJ. Blue

142. Mr. James EK. Yellow

143. Mr. William EL. Purple

144. Mr. Charles EM. Red

145. Mr. Thomas EN. Orange

146. Mr. Robert EO. Green

147. Mr. Henry EP. Blue

148. Mr. George EQ. Yellow

149. Mr. Richard ER. Purple

150. Mr. Daniel ES. Red

151. Mr. John ET. Orange

152. Mr. James EU. Green

153. Mr. William EV. Blue

154. Mr. Charles EW. Yellow

155. Mr. Thomas EX. Purple

156. Mr. Robert EY. Red

157. Mr. Henry EZ. Orange

158. Mr. George FA. Green

159. Mr. Richard FB. Blue

160. Mr. Daniel FC. Yellow

161. Mr. John FD. Purple

162. Mr. James FE. Red

163. Mr. William FF. Orange

164. Mr. Charles FG. Green

165. Mr. Thomas FH. Blue

166. Mr. Robert FI. Yellow

167. Mr. Henry FJ. Purple

168. Mr. George FK. Red

169. Mr. Richard FL. Orange

170. Mr. Daniel FM. Green

171. Mr. John FN. Blue

172. Mr. James FO. Yellow

173. Mr. William FP. Purple

174. Mr. Charles FQ. Red

175. Mr. Thomas FR. Orange

176. Mr. Robert FS. Green

177. Mr. Henry FT. Blue

178. Mr. George FU. Yellow

179. Mr. Richard FV. Purple

180. Mr. Daniel FW. Red

181. Mr. John FX. Orange

182. Mr. James FY. Green

183. Mr. William FZ. Blue

184. Mr. Charles GA. Yellow

185. Mr. Thomas GB. Purple

186. Mr. Robert GC. Red

187. Mr. Henry GD. Orange

188. Mr. George GE. Green

189. Mr. Richard GF. Blue

190. Mr. Daniel GG. Yellow

191. Mr. John GH. Purple

192. Mr. James GI. Red

193. Mr. William GJ. Orange

194. Mr. Charles GK. Green

195. Mr. Thomas GL. Blue

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234. Mr. Charles HY. Red

235. Mr. Thomas HZ. Orange

236. Mr. Robert IA. Green

237. Mr. Henry IB. Blue

238. Mr. George IC. Yellow

239. Mr. Richard ID. Purple

240. Mr. Daniel IE. Red

241. Mr. John IF. Orange

242. Mr. James IG. Green

243. Mr. William IH. Blue

244. Mr. Charles II. Yellow

245. Mr. Thomas IJ. Purple

246. Mr. Robert IK. Red

247. Mr. Henry IL. Orange

248. Mr. George IM. Green

249. Mr. Richard IN. Blue

250. Mr. Daniel IO. Yellow

251. Mr. John IP. Purple

252. Mr. James IQ. Red

253. Mr. William IR. Orange

254. Mr. Charles IS. Green

255. Mr. Thomas IT. Blue

256. Mr. Robert IU. Yellow

257. Mr. Henry IV. Purple

258. Mr. George IW. Red

259. Mr. Richard IX. Orange

260. Mr. Daniel IY. Green

261. Mr. John IZ. Blue

262. Mr. James JA. Yellow

263. Mr. William JB. Purple

264. Mr. Charles JC. Red

265. Mr. Thomas JD. Orange

266. Mr. Robert JE. Green

267. Mr. Henry JF. Blue

268. Mr. George JG. Yellow

269. Mr. Richard JH. Purple

270. Mr. Daniel JI. Red

271. Mr. John JJ. Orange

272. Mr. James JK. Green

273. Mr. William JL. Blue

274. Mr. Charles JM. Yellow

275. Mr. Thomas JN. Purple

276. Mr. Robert JO. Red

277. Mr. Henry JP. Orange

278. Mr. George JQ. Green

279. Mr. Richard JR. Blue

280. Mr. Daniel JS. Yellow

281. Mr. John JT. Purple

282. Mr. James JU. Red

283. Mr. William JV. Orange

284. Mr. Charles JW. Green

285. Mr. Thomas JX. Blue

286. Mr. Robert JY. Yellow

287. Mr. Henry JZ. Purple

288. Mr. George KA. Red

289. Mr. Richard KB. Orange

290. Mr. Daniel KC. Green

291. Mr. John KD. Blue

292. Mr. James KE. Yellow

293. Mr. William KF. Purple

294. Mr. Charles KG. Red

295. Mr. Thomas KH. Orange

296. Mr. Robert KI. Green

297. Mr. Henry KJ. Blue

298. Mr. George KK. Yellow

299. Mr. Richard KL. Purple

300. Mr. Daniel KM. Red

301. Mr. John KN. Orange

302. Mr. James KO. Green

303. Mr. William KP. Blue

304. Mr. Charles KQ. Yellow

305. Mr. Thomas KR. Purple

306. Mr. Robert KS. Red

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308. Mr. George KU. Green

309. Mr. Richard KV. Blue

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312. Mr. James KY. Red

313. Mr. William KY. Orange

314. Mr. Charles KZ. Green

315. Mr. Thomas LA. Blue

316. Mr. Robert LB. Yellow

317. Mr. Henry LC. Purple

318. Mr. George LD. Red

319. Mr. Richard LE. Orange

320. Mr. Daniel LF. Green

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whether he has knowledge of everything he should know about. Any doubt or suspicion in this regard is the condition to be avoided for its presence will always produce an effect that is detrimental. Top effectiveness on the part of the individual worker is not possible so long as any justified doubt exists in his mind.

#### Detect Out-Moded And Disruptive Policies And Practices

It is not unusual for routine operating methods to develop into rather disturbing practices which have a much greater deterrent effect than would appear on the surface. Too, a disturbing practice which was originally rather trivial in scope, may become considerably magnified unless effective controls are maintained continuously.

In a personnel management office it was the routine practice for many years to mail certain types of "personnel actions" under confidential cover to the individual employees affected by the action. Originally, this method was followed with relation to those types of communications relating to the status of the specific individual, those of concern to no one else except the boss and the people in the office of origin. Over quite a considerable period of time, the practice was gradually expanded with the result that an ever-increasing volume of the material mailed out from that office was marked confidential. Finally, it became somewhat of a habit with the result that very little of the correspondence and related material originating in that office was transmitted in the open mail. Actually, only a negligible portion was of such character as to justify its being restricted in any way. The extension of the practice was so gradual and the people engaged in it were so close to the operation that the situation which ultimately developed was not fully recognized. Failure to realize what had happened was the result of failure to stop now and then and compare that which was being done with the original intent and the current need. As is so often the case, the





situation was brought to light by an "outsider," by an individual who had been on the receiving end. The unjustified practice was amended radically and realistically, with the result that members of the organization were largely relieved of the understandable concern which had developed to disturbing proportions under the former system.

### WAYS OF COMMUNICATING

In our consideration of this particular point we are not concerned, of course, with the conventional communicating media of a physical nature. We are not concerned with such facilities as the telephone, the telegraph, the radio, letters, memoranda, and the like. For such things are the conveyance or vehicles which represent the conventional means of transmission. Our concern has to do with that which should be transmitted not with the physical facilities for getting it done. It is presumed that the need for facilities of this nature is so obvious that such matters are somewhat foreign to our area of major concern. We are concerned with the things that need doing, with the basic conditions needing to obtain, the climate, the atmosphere, the understanding, and the relationships which need to be established and maintained. For it is those considerations which constitute the basic communications area.

### Policies, Procedures, Guides

Obviously, policy statements relating to all major functions, including the over-all management function, are essential. Members of the organization need to know what the over-all objectives are and must be kept fully acquainted with the responsibilities and authorities of the several units and levels which carry out the operations designed to produce those objectives. Policies need to be clear and concise and fully documented.





They must be kept alive, applied, adhered to and revised when appropriate. They must be realistic and serve as helpful guides to insure unity of understanding and coordinated effort on the part of those responsible.

A clear statement of policy tells everyone concerned what the organization wants to accomplish, which units are responsible for getting it done, and enumerates some of the major operating practices to be followed. A statement of policy always remains effective until amended by competent authority. A documented policy statement that is disregarded, or not adhered to, may be worse than no documented policy at all. It is similar to an unenforceable regulation. For it exerts a strong deterrent influence on all other similar instructional and control efforts. And, once again, we need to realize the extreme importance of periodic evaluation of existing policy. For, like organizations, the circumstances on which policies are based never remain static. To prescribe a policy and then presume that it will forever remain appropriate represents an extreme fallacy. It is management's job to be aware of this inherent hazard and not become a victim of it. To recognize that policies are guide lines which fit the current situation, needing to be modified when changing conditions necessitate their change. To recognize the real dangers that are present when things are done just because "it's the policy."

Procedures, instructions, regulations, directives, and supplementary guides are necessary to insure the existence of complete and accurate understanding of the operations to be carried out and the methods to employ. Many of these must be developed and maintained in written form. They should be developed, to the fullest practicable extent, with the participation of those to whom they have application. They should be furnished to all who have need for them, through the proper administrative lines, and each



should clearly indicate if it is mandatory or if it is suggestive only. And, of course, such issuances should be made by the people authorized to take such action, with no disregard, at any time, for the prescribed official relationship of the issuing official to the recipients.

It seems necessary to mention that great care must be taken to exclude any and all regulations which are unenforceable. For the inclusion of a few such regulations will nullify, to a substantial degree, the effectiveness of the remainder. Only those "control" devices essential to the effective conduct of operations should be put into effect. They should be restrictive upon the individual only to the degree that is clearly necessary and unavoidable. It is incontestable that no organization can afford to follow the policy of attempting to provide the answers to all possible questions in the form of rules, procedures, and regulations. This is one of the most certain ways to stifle individual interest and initiative, to suppress ability, and to prevent employee development and growth. Whenever there exists questions as to the need for a restrictive rule or regulation it usually is best to err in the direction of too few rather than too many.

When policies, procedures, and other instructions are developed independently by officers at levels above those to whom these mandates apply, their application and enforcement is almost certain to be abnormally difficult. Participation in their development, by those responsible for carrying out the prescribed provisions, is one of the most effective ways to insure the development, acceptance, and effective execution of that which is most appropriate for the conditions that exist. Any individual who takes part in the formulation of policy or practice will, by virtue of that fact, more willingly accept and more effectively carry out those decisions. It is recognition of this fact which causes progressive organizations to look upon





administrative officers at each level, including first line supervisors, to represent the composite management force.

The conditions to which instructions and regulations apply do not remain static. Changes in laws, in administrative policy, in technological aspects, and in other areas of influence necessitate the periodic revision of previously issued instructions which originally may have been entirely appropriate. Also, it is not unusual for a restrictive regulation to become no longer necessary because of changing conditions or for any of a number of other reasons. It becomes obvious then, that existing operational mandates require continuing scrutiny, require constant surveillance by every management official and by each individual whose operations are affected. Equally obvious, is the importance of making certain that existing rules which are no longer necessary or are obsolete are identified promptly and rescinded or appropriately modified with equal promptness. To see that these things are done in the right way and when they should be done represents a primary responsibility of management. But a part of the management force or, for that matter, the entire management force cannot do this job with full effectiveness alone. The assistance of every employee is needed. And that assistance is possible only when an effective state of communications is present. Only when there is no obstruction in the flow of expression in a vertical direction from below.

#### Group Discussions

Meetings and conferences of various types are conventional methods employed in every progressive organization to impart information and, of course, for other purposes. It seems entirely safe to say that in some organizations there are too few meetings, that in others there are too many and that in still others very effective utilization of this communicating





device seems to be the rule. How to get the most out of a conference is a sizeable topic in itself. It is one that we will not go into in great detail at this time. However, a few of the more important basic considerations will be mentioned.

There is little need to emphasize that a considerable cost is involved whenever any sizeable group of people is assembled at one place for any length of time. Of course, the extent of the costs incurred will vary considerably, depending upon the salaries of participants, the degree of travel involved and the like. But this item of personal service and other expenses is by no means the only consideration. The value of the results derived from the assembly is probably of still greater importance. As management usually calls and conducts such assemblies it might be worth mentioning that the importance of evidencing sound management practices in these instances is as great as it is in connection with any other organizational activity. The same principles apply. And it might not be inappropriate to point out that managerial efficiency will be quite accurately reflected in conference effectiveness.

For these principal reasons, any conference should be well prepared for, well planned, for the same reasons that good advance planning is essential to the successful execution of any cooperative undertaking. The leader should be well qualified, which will include good preparation, so that he may be able to handle the meeting in such a way that the most effective results will be produced. He needs to know how, and be able, to cope with the various problem situations which are inherent in any activity involving group discussion and consideration. The agenda must be realistic, well developed, clear-cut and complete and otherwise appropriate. Those in attendance must clearly understand sufficiently in advance what is expected



of them, what the assembly is supposed to accomplish, and they must be given ample opportunity to make adequate preparation for effective participation. This is true even though such participation may consist, for the most part, of receiving information.

This medium of communication, the meeting, is so widely used, and is so necessary, that thorough study of the subject by every manager is fully justified. This is true because a meeting is in progress whenever the boss and just one of his subordinates get together to talk. But, as the subordinate force of most managers will consist of a number of people, it is a necessary routine practice to meet periodically with all of them. For, this is essential in the interest of effective coordination, to make certain that each one hears the same story, and for the further reason that fullest utilization of the subordinate staff is otherwise hardly possible.

Effective meetings accomplish much and are tools of management that no manager can do without. Ineffective meetings are almost certain to produce negative results and will not be condoned by the capable manager. When members of an organization evidence some resentment at being called in to "just another meeting" it is time for the responsible manager to take a good look at himself for it is certain that something is in need of correction, that this important communicating media is not producing the desirable results of which it is capable. There are some excellent publications available on the general subject of effective conferences. Any manager will find that a reasonable amount of time devoted to the study of this subject will be time well spent.

#### What Is Expected Of Each Employee

Every employee has a right to know what is expected of him on the job. There is only one way to make certain that he does know, by furnishing him





with official standards and by making certain that he fully understands them. These are generally described as "performance standards." Regardless of what they are called, these standards will prescribe the practices and the results that are acceptable for that particular job. Of course, the standards may be identified by reference to the specific function or operation to which it relates, such as "inspection standards" "grading standards," and the like. But an official standard for every job is essential.

Without a prescribed standard the employee cannot have a clear understanding of how he is expected to operate or what results he is expected to produce. Under such a condition the employee will probably have his own ideas as to how he is to perform and what he is supposed to accomplish and his supervisor will have a different idea, one that is often radically different. In any event, it is certain that the mutual understanding will not be entirely clear and not definitely uniform. Under such conditions no one can determine with acceptable accuracy, how well the job has been done. To reduce the opportunity for misunderstanding, to insure acceptable uniform interpretation, job standards should very often be prescribed in writing. And they should be reviewed, discussed, used, and revised when necessary. They should be used in connection with all control operations, during the course of inspections for this is the only way in which the conditions that actually exist may be compared with those which were prescribed. Of course, the standards used by the inspector must be the same as those which govern the official responsible for carrying out the operations under inspection.

In view of the relative importance of the manager's job there should not be failure to recognize the necessity for official standards for the jobs





occupied by the members of the management force. This question of "management standards" is considered to be so important, and so badly in need of attention, that one of the later sections will be devoted, in its entirety, to this subject.

### Communicating By Example, By Action

In the area of communications it is not unusual for us to tend to limit our thinking to the several communicating methods that are most commonly recognized and accepted. Verbal discussions and written communications are the two which seem to receive the most attention. While these methods, and others like them, are effective, and downright essential, there are other ways which are, to our way of thinking, even more effective than the others. We refer, particularly, to the influence of demonstration, of example, of action. It seems that we need to recognize that the day-to-day association of the subordinate with his superior probably has more influence than anything else upon the way the subordinate operates. The subordinate observes how his boss does things, how he handles certain situations, what he says, and the subordinate invariably compares the boss's action with the boss's statements. In this way, knowledge and information is imparted just as positively, and often more effectively, as by means of written instructions. In many circumstances the demonstration or example technique will produce the desired result with a minimum expenditure of time and effort. If there is enough of the right kind of example there will be less need for written rules and regulations and instructions.

Certainly, there should be no question concerning the potency of action as a means of communicating. And for that reason the importance of the proper example, of the proper action, is something that no manager can disregard with any degree of success. It would be bad enough for any

Not for

manager to perform in a manner that would be unacceptable if duplicated by a subordinate. But it would be still worse for the manager to issue a statement of policy, an instruction, and then proceed to disregard it personally. The resultant effect is unfortunate from the standpoint of the specific incident. But that area of concern is negligible in relation to the overall and lasting effect upon the members of the subordinate force. For, very naturally, they will extend the significance of the incident far beyond that point. They will be concerned as to whether or not the happening serves to establish a pattern. They will wonder if by such action a governing policy was prescribed, the policy of disregarding stated policy. Consequently, every manager needs to realize that every one of his official acts serves to influence, in one way or another, the mode of operation of the members of his subordinate force.

#### The Basic Communicating Situations Are Many

There are, of course, almost innumerable ways of communicating thoughts, viewpoints, ideas, desires, and the like to other individuals, to subordinates, as well as to superiors and co-workers. The use of news bulletins, posters, movies, charts, other visual materials, special assignments, and understudy assignments, are just a few of them. It is seldom that one method alone will do the job and it is usual that the application of a variety of means will be necessary in order to produce the required results. Naturally, the important thing is that the various methods are recognized and that the right ones are used at the right time.

But any one or several of these ways, these methods, will seldom prove to be very effective unless certain basic conditions are present. As the success of any medium is dependent upon the existence of certain underlying conditions, and as that fact must never be lost sight of, it seems





appropriate for us to remind ourselves repeatedly of these conditions.

There must be present the right kind of climate, atmosphere, environment, for otherwise any efforts will be, to some degree, ineffectual. There would seem to be no doubt that the one most important basic condition is that of the proper kind of relationship between each worker and his boss. And the appropriate relationship is the one in which there is mutual respect and of mutual recognition for the necessity of the existence of a clear and complete understanding, between these two people, all of the time.

With the proper environment being maintained, an effective state of communications is virtually assured when certain fundamental practices are carried out in the routine way of operating. The development and utilization of effective plans of work, the prescribing of operational standards, effective performance evaluation, the maintaining of adequate controls, and the appropriate handling of problem situations will do much to meet the requirements that all possess the information they need and should have, and that individual attributes are utilized. For, after all, the primary purpose of good communications is to accomplish these two things.

MAINTAINING EFFECTIVE COMMUNICATIONS  
IS THE RESPONSIBILITY OF EACH MANAGER

It seems to be very obvious that the effectiveness of any manager depends very largely upon two factors, upon his knowledge of the management field and his ability to apply that knowledge, his ability to impart it to those he directs. Of course, if he possesses the knowledge that is adequate but is unable to "get it across" it is evident that the results of his efforts will be less than fully acceptable. However, if he should not possess the requisite knowledge there is little need for concern about the second phase.





And under such a condition poor communications may represent a fortunate circumstance.

### The Manager Is Responsible For Getting It Done

As we have mentioned repeatedly it is the manager's job to see to it that his subordinates have all of the knowledge and information that is necessary and desirable in order for them to operate efficiently. No manager no matter how intelligent or ambitious he may be, is entirely capable of possessing and transmitting all of the knowledge and information his subordinates should have. But he does have the full responsibility for determining what his people need and for seeing to it that their needs are met as completely as conditions will permit.

The manager cannot be expected to be able personally to execute effectively all of the communications processes he must employ. But he should be capable of recognizing what the various processes are, of determining the ones that will prove most effective under various sets of circumstances, and be able to see to it that the right kind of operations are used effectively. Once again, his responsibility in this respect, as well as in all others, is to see to it that the things that should be done are done. It is not his responsibility to accomplish all of these things personally. And, once again, he redeems this responsibility by the full utilization of the resources for which he is held accountable. By the full utilization of each member of his subordinate staff.

Naturally, it is very desirable that the administrative official be capable of expressing, verbally and otherwise, his thoughts and viewpoints in an effective manner. It is desirable that he be able effectively to lead a conference. But, again, it is not absolutely essential that he possess these capabilities personally. It is essential, however, for him to possess the



ability to get others to carry out these functions effectively. Just to illustrate, some managers appear to be of the opinion that they must always serve as the chairman or master of ceremonies at their staff conferences. Certainly, there is no objection to them performing in this way a part of the time. It is desirable that they should. But it is undesirable for them always to perform this function. Instead, they should fully utilize their staff members in performing this and virtually all other functions which, collectively, make up the managers' jobs. For it is only in this way that subordinates will fully develop, will develop to a point approaching the limits of their individual capabilities. And this objective probably is, after all, the most important responsibility of every administrator.

#### A FEW GUIDING PRINCIPLES

Just like any other major segment of the managerial operation, the communications area needs to be administered in essentially the same way as any other. It is not sufficient, of course, to decide upon the things that will be done and those that will not be done, in order to create the state of affairs that is determined to be needed. That represents only the first step. It is necessary to maintain adequate controls to determine the acceptability of that which was decided upon, to determine if the prescribed communications policy and practices are understood, and to further determine if the practices that are being followed are in agreement with policy provisions. The several guiding principles which are enumerated in the following may be of some help in the establishment of these controls and in the process of applying them.

1. Each member of the management force fully realizes, and demonstrates that realization by his actions, that effective communications





represent an essential element in the achievement of efficient management.

2. The realization that knowledge and information are imparted in a variety of ways, and that any one way seldom proves to be fully adequate.

3. That there must always be a systematic follow-up, inspection, audit, or review to see that the information that is imparted is "getting through." And it is well understood that this process is, of itself, a very effective way of communicating.

4. The flow of communications must be unimpeded in both directions, from those below as well as to those below. That there can be no such thing as full staff utilization when there is any obstruction in the upward flow of free expression. For the volume and value of the information available from that direction are substantially greater than that available from above.

5. Effective communications must be maintained to insure such fundamental requirements as these: strong unity of purpose, full participation, a feeling of belonging, a clear understanding of what is desired and required, knowledge by the individual of how he is getting along, individual interest in organizational welfare and a climate in which a cooperative and harmonious effort prevail.

6. The acceptance and application of the principle that each employee should possess all official information he needs to have to perform his official functions with maximum effectiveness, and, in addition, all he wants to know that he has a right to know.

7. There exists the clear understanding that the effective application of certain fundamental administrative practices will virtually insure an acceptable state of communications. Specifically, the development and utilization of sound plans of work, effective performance evaluation, appropriate operational standards, adequate controls, and the forthright





handling of problems.

8. That appropriate personal relationships, particularly those between the superior and each subordinate, represent the basic foundation essential to effective communications.

EFFECTIVE PERFORMANCE EVALUATION REQUIRES  
GOOD COMMUNICATION

There has been repeated mention of the absolute necessity for maintaining the right kind of relationship between each employee and his boss. Such a condition must prevail in order that each may perform in a fully efficient manner. The subordinate wants to have all of the information he needs in order that he may operate in a manner that is acceptable to him as well as to his boss. The boss wants the same thing for he knows that his efficiency is determined by that of the subordinate. And in order to do his job properly the boss needs, has to have, the unrestricted views and other contributions of the subordinate to the extent of that individual's capability.

Certainly, these results will not be possible if certain necessary conditions are not taken care of. If there exists any doubt or uncertainty in the mind of the subordinate with respect to his official status. One of the things about which the subordinate must entertain no uncertainty is how well he is carrying out his assignment in the eyes of his superior. The subordinate wants to feel confident, all of the time, about the answer to this question. As this is something he wants it is something he should have. And in order for him to have it his boss must operate in such a way, all of the time, that there exists no element of doubt in the mind of either.

There are some very definite things that must be done, and some that must not be done, in order to establish and to maintain the state of affairs that is necessary. In the next section we will explore much more completely this important area of evaluating employee performance.



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AGRICULTURAL MARKETING SERVICE  
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CORRESPONDENCE COURSE-MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 7 - EFFECTIVE COMMUNICATIONS

WORK ASSIGNMENT

1. In your own words describe three of the major consequences that will be experienced in an organization when an ineffective state of communications is present.
2. Explain three or four of the most important practices with which you are personally familiar or have heard about, which are followed by some organizations to insure good communications.
3. In the order of their importance, list five types of information which you believe the average employee most desires, and briefly explain why you think it is important that such information be supplied.
4. Describe three actual situations with which you are familiar, and which you attribute to the existence of faulty communications, and explain the measures you think would be most effective in bringing about the remedy of these conditions.
5. Explain your views with respect to the relationship of the effectiveness of the state of communications to staff utilization.







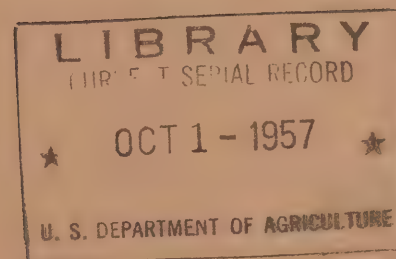




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SECTION 8  
EVALUATING EMPLOYEE PERFORMANCE

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WASHINGTON, D. C.

1957



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CORRESPONDENCE COURSE  
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MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 8  
EVALUATING EMPLOYEE PERFORMANCE

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WASHINGTON, D. C.  
1957

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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 8 - EVALUATING EMPLOYEE PERFORMANCE

One of the very important phases of the overall administrative function is the determination, on a virtually continuous basis, of the acceptability of individual employee performance. Such determination alone is insufficient. Like all other data concerning members of the organization the information thus obtained must be utilized, fully utilized, in order that a state of efficiency, approaching the optimum, may be present. This is an integral responsibility of the incumbent of every managerial job. While we said that the function is particularly important we would not hesitate to express the view that it is down-right essential, that there can be no such thing as full efficiency on the part of either the boss or the subordinate in its absence. There are many good reasons why this is a job that just has to be done right to bring about the kind of results that everyone is looking for. We will try to point up most of the more important benefits a little later on.

It is probable that most organizations have some standard whereby an effort is made to determine, with varying degrees of accuracy, how well each employee is doing the job assigned to him. Some of the systems that are in effect are really effective and some are decidedly not. In some instances a gesture toward getting the job done is made because there is a rule or regulation that says it is to be done. In other instances the job is done and done well because the management force recognizes that in the absence of doing it there can be no such thing as good management. In this latter situation it is not necessarily the system itself that causes first concern -





it is the way in which the operation is performed. And that, of course, is the way it should be.

This phase of each manager's function that we are considering is known by a variety of names. Performance evaluation, performance ratings, and efficiency ratings are just a few examples. But regardless of the descriptive terms that are used the basic purpose to be accomplished is the same. At times name changing appears to be resorted to in the belief that something of desirable significance will result from the action. It is probable that occasionally it has a reverse effect.

But the concept that seems to have done the most harm is the one under which this process is considered as an entirely separate and independent operation. That is, an operation to be done separately and apart from the other administrative responsibilities of the individual manager. This unfortunate view has, in all probability, contributed in no small measure to the confusion that exists, to the perfunctory methods that are too often followed, and to the consequences. The results that are obtained are extremely valuable where performance measurement is recognized as an essential component inherent in the manager's function. Where the operation is considered to be a distasteful task to be accomplished at specified intervals, with a minimum of effort, time, and interest, the results are usually of little value and often may be actually detrimental. It is not difficult to presume that when this latter condition exists there is probably a lot more wrong with the organization than just this one phase.

#### WHY EVALUATE PERFORMANCE?

There are many good reasons for doing the job, and for doing it right, and no good reasons for not doing it. Looking at it basically, we need to determine how well each employee is doing his work for the same reasons



that we need to know how well a piece of equipment is doing the job for which it was purchased. It is, of course, readily apparent that there are many good reasons for determining the way in which the employee, the individual, is carrying out his duties. As every employee is being paid a wage to do a specific job, we have to check to see if the return justifies the cost. That reason alone should be sufficient to justify doing the job and justify doing it well.

But there are other good reasons, too. And some of them may be even more important than the one we just mentioned. Unless the employee understands how well he is performing he will entertain some doubt, some uncertainty, a condition which inevitably exerts a deterrent influence upon his performance. We can hardly expect an individual to do all that needs doing to overcome a deficiency unless he is aware of that deficiency and unless he is helped to overcome it. The attributes the individual possesses may not be developed to their fullest extent unless their presence is known by those people who need to know these things in order to do an orderly job of staff development. All in all, full staff utilization is not a possibility unless this operation is carried out at an acceptable level of efficiency.

#### The Employee Must Be Told

Every individual employee wants to know and needs to know how well he is doing his job. The boss needs to make this determination and to fully acquaint the individual for several reasons that are of considerable importance to both parties. The individual employee will carry out his assignment less well if he does not know, and will do it better if he does know. There are some managerial officers who contend that people do not need to be told how they are doing, that if they are not told they will assume properly that they are doing all right. Such a view is not correct. Of course,





because of individual temperament characteristics, there are some people who apparently believe that just about everything they do is done as well as it could be done. Those people will be inclined not to recognize substandard performance, on their part, when it occurs. Then, of course, there is the other extreme. The modest and cautious individual who will almost always think he is performing below standard unless he is given the true facts. He will usually perform less efficiently because of the frustration that he experiences from not knowing the truth. And this may cause a sort of chain reaction brought about by the deteriorating effect of the state of frustration which will certainly continue until the proper people provide the proper information.

But the revealing, to the individual, of only that which is substandard represents only a part of that which needs doing. The individual must know, must be told, what he is doing in an acceptable way and what he is doing in an exceptional way. Perhaps this last item is the one that is the most important. For many times the most logical way to bring about improvement in efficiency areas is to further develop the attributes that are already present. Certainly, it would be very difficult, probably impossible, to prove the inaccuracy of the statement that "many have failed to do their best because they have been told only of their worst."

#### The Whole Picture - Not Just The Bad Side

The logical and worthwhile appraisal of any situation includes all of its aspects, not just part of them. Any report which provides just one side of the story is of little value to any one. Knowledge which is limited to the things that are wrong with an operation is not particularly beneficial to anyone. And, of course, the same thing is true if we have only the other side of the picture, if we have knowledge only of that which is right. With just





some of the facts, not all of them, it is not always possible to arrive at a logical determination. And it is not the least bit unusual, under those circumstances, to render a decision that is most illogical. This same principle has full application with respect to the question of quality of performance of the individual worker. The important consideration is that in this instance the need for possession of all of the pertinent facts is of the highest importance. Because here we are dealing with an animate facility. With an individual whose productivity is influenced by a mental attitude, by moods, which in turn are governed by assurances and certainties and uncertainties.

In spite of the unquestioned validity of these conclusions the practice of focusing attention upon failures and deficiencies, and at the same time paying little attention to the good things, is far from uncommon. We have known of inspection policies which prescribe the reporting of the wrong and virtually ordered the excluding of the good. This might be a bit difficult to believe but it is true. We have known of managerial officers who experienced extreme displeasure when inspectors and auditors discovered and reported but few deficiencies in relation to the accomplishments and conditions that were acceptable or outstanding. Careful analysis of this attitude will readily reveal some rather startling facts. It would be our assumption that efficiency in his operations represents the primary ultimate objective of every manager. If that is true, and it seems inconceivable that it would ever not be, any competent manager should be very pleased when he is furnished with authentic evidence that the balance sheet is in a decided state of imbalance, with a preponderance of entries on the "acceptable and above" side. We are most willing to admit our inability to explain the thinking of the individual who displays disappointment when he is furnished with evidence that but few of the conditions prevailing in a unit are below the

The first part of the report deals with the general situation of the country. It is a very interesting and informative account of the country and its people. The second part of the report deals with the specific details of the country and its people. It is a very detailed and informative account of the country and its people. The third part of the report deals with the specific details of the country and its people. It is a very detailed and informative account of the country and its people.

Section 1: General Situation

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Section 2: Specific Details

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Section 3: Conclusion

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standard that has been set.

The propriety, yes the necessity, for discovering performance that is acceptable and above, and for providing such determinations to the people performing in that manner, should offer but little resistance to recognition by those who manage. For it is a well established fact that most any individual will react favorably to favorable comment. Favorable reaction results in more competent performance. People will do better work, when they are told of their best work. And as the objective of efficient management is to get efficient subordinate performance it would seem that management would be efficient when it does those things that need to be done to get the best results. And another conclusion would seem to follow. That when management does not do what it should do to get the best results, management must be less than fully efficient.

#### Above Average Performance Is Revealed

Performance evaluation that is carried out properly will bring to light cases of outstanding work accomplishment. Every employee wants the recognition that he deserves. He wants praise when he deserves it. The deserved recognition and praise that the employee wants and needs can be provided from but one source. From management, from the boss. And management should provide these wants for the very simple reason that the individual employee will be benefited. And when the individual benefits the organization shares in it. It will behoove every management officer to recognize that no one can be certain that praise and other desirable forms of recognition are given properly and impartially unless operations are looked into systematically, are reported on accurately and completely, and the knowledge thus obtained is utilized appropriately.





When above average accomplishment is discovered, and that discovery is utilized the way it should be everyone benefits. The organization benefits because a particularly desirable and valuable asset has been identified. Management possesses proof that the investment in the services of this individual employee is paying good dividends. There exists the knowledge that this investment may be put to still better use by assigning the individual to more important work which will, of course, be compensated for at a higher and just rate.

The individual employee benefits because his accomplishments, and his capabilities which made his accomplishments possible, have been brought to light. He derives much satisfaction from possession of this knowledge himself and from the knowledge that superior officers are aware of his achievements. The employee experiences a greater sense of accomplishment which promotes a desire, on his part, to maintain the record he has established, and possibly to improve it still further. He has good reason to believe that he will now be thought about when selections are made for more desirable assignments and he feels more confident that he will receive the consideration he deserves when better opportunities become available. The fact that management put forth the effort that was necessary to discover his outstanding work, and acquainted him with their discovery, causes him to entertain more confidence in and greater respect for management. He has greater assurance, in his own mind, that the higher ups actually are interested in placing people where all will derive the maximum benefits.

#### Develops Organizational Unity

When any boss does a good thorough job of reviewing with a subordinate his job and the way he is performing it, the results cannot be other than highly beneficial. For it definitely proves to the subordinate that someone





is vitally interested in his work and the way he is performing his work. The subordinate will conclude, as he properly should, that the boss is interested in him as a person for, after all, the things that are receiving attention are the results of that person's efforts. This evidence of such interest is something that is essential to the individual employee. It contributes to the "job satisfaction" of the individual. And that is something that everyone must have if he is to operate at anything approaching maximum efficiency.

The individual derives a sense of belonging, a feeling that his work, and himself as well, are essential parts of the whole organization. The employee is made to understand that the operations he is responsible for getting done are looked upon as vital segments of the enterprise, are positive component elements on which attainment of the overall objective is definitely dependent. The process itself, that of the cooperative examination of the work by the one responsible for doing it and the one responsible for seeing that it gets done, by its very nature tends to promote interest and appreciation on the part of both. And that interest, appreciation, and mutual respect promotes the desire, in both, to carry on with increased efficiency.

#### Creates A Good Boss-Subordinate Relationship

If there is any one condition which contributes more to efficiency, all along the line, than any other, it is the existence of the proper relationship between the superior and the subordinate. When these two people consider thoroughly, together, the work operations in which both are interested, there is a person-to-person relationship created which could not be developed, to the same degree, in any other way. Each one learns of the views and of the concerns of the other. Any differences in viewpoint will be brought out into the open, as they must be, and may be "talked out" with the result that a clear and common understanding is arrived at. If the area of



understanding between the two was somewhat vague this obstacle is removed and in its place there is created the state of clarity and singleness of purpose that is so necessary for each to perform at the level of effectiveness of which he is capable.

The development of the right kind of relationship between the boss and each one of his people, and the maintaining of that relationship once it is developed, represents a definite prerequisite to sound management. It is, of course, the responsibility of the boss to provide the right kind of circumstances which will insure the opportunity for free and complete expression on the part of each one. It is never proper to assume that the kind of relationship needed will exist in the absence of such opportunity. Or that it is present just because the two are close acquaintances, or possibly good friends, away from the job. If that is the case, it is all the more necessary to develop the needed official understanding, right at the very start, for it is always possible that a wide area of disagreement may later develop and when it does it should not be necessary to include in the process of reconciliation the basic relationship that is required for the orderly resolving of the problem. That is something that should have been accomplished before. There is no more effective way to create the condition we are talking about than the practice of thorough review, by the boss, with the subordinate of the work for which he is held responsible.

#### Reveals Individual Deficiencies

To permit the continuation of substandard work with no real effort made to effect remedy is obviously most unfair to the employee and to the organization as a whole. When deficiencies are discovered one of the very first steps is to determine what caused them. And the cause of most any deficiency can usually be determined without a great deal of trouble.



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Obviously, the cause of the difficulty will not and cannot be dealt with effectively if the existence of the deficiency is not recognized by both parties. The natural tendency, of course, is to show primary concern for the effect, for the results which are currently causing concern. Naturally, the immediate situation, the effect, needs attention and should get it. But it is the circumstances causing the current situation that is of much more importance. The major concern of the boss and of the subordinate should be to identify the cause and then to take action to avoid a recurrence as well as the development of a similar occurrence elsewhere in the operation.

This process of mutual consideration of the work assignment of the individual, in all of its major aspects, is one of the most effective ways of determining the training that is required to bring performance up to an acceptable standard. When specific training needs are brought to light in this way the superior and subordinate can cooperatively decide on what is needed and how that need may best be met. The subordinate should be given full opportunity to take the lead in making these determinations. In this way he is making a maximum contribution to the solution of the problem. He is the one closest to it and he is often best able to determine the extent and the character of the corrective measures that are most likely to produce the results required. For, after all, unless the cause of the trouble rests at superior levels, it is the subordinate, and not the boss, who has to effect some kind of a change. And for the reason that the subordinate took an active part in determining the need as well as the most logical course of corrective action he will more willingly accept the decisions arrived at and more effectively carry them out. Because he made some of the decisions himself, or at least proposed them, he will assume a greater sense of responsibility than he would if he was expected to conform to mandates that





were handed down to him, mandates in which he did not participate.

### Better Employee Utilization

The efficiency with which an employee performs the individual phases of his assignment indicates, with a great deal of accuracy, his interests, his capacities, and his potentialities. It is evident, of course, that information of this character is of extreme value in selecting the individuals who are best qualified for various types of jobs. This same knowledge is of substantial benefit in identifying temperament characteristics and other traits which are positive indications of leadership qualities. In the absence of a complete inventory of the preferences, the interests, and personal characteristics and proficiencies of the members of an organization, it is a certainty that many individual abilities will not be utilized. And it would seem to be equally certain that an unjustifiable number of poor assignments will take place.

No management can utilize fully the human resources available to it in the absence of complete knowledge concerning those resources. That knowledge is never complete unless it includes the potential capabilities of the individual employee as well as his capabilities at the moment. In any cooperative enterprise the best results are possible only when there is full utilization of the resources that are available.

We would all agree that it is inadvisable, because it is not profitable, to utilize a piece of equipment substantially below the limits of its capacity. But this is not a good comparison. Equipment capacity is usually definitely fixed and little if anything can be done to increase that capacity. On the other hand, the performance capacity of the individual is not, in most instances, so positively fixed. The individual capabilities of most employees at one time or another, may be increased. It is management's job,



management's responsibility to the individual and to the organization, to use fully the human resources that are available and to develop those resources to optimum limits. Management cannot accomplish this without the necessary basic knowledge concerning its people. And that knowledge cannot be had without taking inventory and without maintaining that inventory on a current basis. This is done by measuring, by evaluating, the performance of the individual worker. By determining what more the individual is or may be capable of doing. By determining what needs to be done to utilize current capability and to develop the potential. After this knowledge has been acquired it is management's function to maintain it and to use it.

#### Points Up Management Weaknesses

In determining the acceptability of individual performance considerable additional information of value, not relating directly to the individual employee, is always obtained. For low quality performance is not always the fault of the employee who is performing below standard. The trouble may be caused by any one of a number of organizational deficiencies. Possibly the chain of command is cloudy or it may be clear but is not being adhered to by officers at superior levels. Possibly there is staff encroachment upon line functions. Possibly the work standards are vague, are incomplete, are not understood or they may be too high or too low. The work operations may have been poorly planned at superior levels or officers at those levels may be insisting upon too radical departure from the plans originally agreed upon. Communications may be faulty or influencing policies may be so restrictive that there is not adequate opportunity to coordinate with other related or dependent activities.





There is always the danger, of course, that assigned supervisory loads are too heavy. And occasionally they may be too light. The immediate supervisor may be falling down on the job for any number of reasons. The employee may be assigned to a job for which he is not fully qualified or in which he has little interest. Workloads may be poorly distributed or the operation may be undermanned. Any of these conditions, and others of a similar nature, may be uncovered during the course of checking the acceptability of performance on any individual job. It becomes fully evident that the benefits to be derived from performance evaluation goes far beyond the sphere of influence of the principal in the case.

When deficiencies such as these, or similar ones, are discovered those who are responsible for taking some kind of action are then in possession of factual data on which to base such action. And, needless to say, the appropriate action should be taken only by those who have the responsibility and the necessary authority to institute such remedial measures. Such circumstances as these point up the existence of a hazard which needs to be the concern of the individual making the evaluation and the one responsible for the operations under consideration. For under these circumstances it is most important that the existence of any deficiency over which an individual has no control must not be allowed to affect adversely his performance rating. No individual may be held accountable for anything he does not have the authority to control. This so obvious fact is sometime overlooked and may even be disregarded deliberately. When this wholly unjustified practice is followed the consequences are inevitably unfavorable, and often most unfortunate. Not infrequently, the individuals who are unjustly penalized are paying a high price for the delinquency of others.

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HOW TO EVALUATE PERFORMANCE

At the very beginning it would seem to be essential that every superior officer clearly understands just what is involved in the function of performance evaluation. To entertain no doubt as to what the operation consists of. During the entire process we must never lose sight of the fact that we aren't evaluating people. We must keep in mind, all of the time, that we are evaluating the work done by people. This realization is frequently referred to as that which is necessary to "maintain an objective approach," avoiding subjective consideration. To make such a statement and stop there would appear to be wholly inadequate. For this is something that is easy to say but quite difficult to do.

There is always the natural tendency, in the rating process, to take into consideration the characteristics of the individual rather than the results of those characteristics as evidenced in the work that he has done. As a matter of fact, it is possible to evaluate performance of an individual without knowing who performed the work. Of course, this is more readily possible of accomplishment with respect to those operations which produce material things that are measurable in quantitative units. Material handling, and inventorying of commodities are typical examples of operations in which the results are subject to ready measurement. Naturally, when the results are more intangible and when the qualitative factor is an important consideration the measuring process offers much more resistance. Nevertheless, even in circumstances such as these a great deal of difficulty need not be experienced if the evaluator keeps foremost in mind that he is concerned with the way things were done and the results produced rather than the individual who did these things and brought about these accomplishments.

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Appropriate Standards Are Essential

There is one basic way to arrive at an accurate evaluation of the performance of an employee. And that is by comparing the work that employee did with the standards which were previously established for that work. The establishing of clear-cut standards and the making known of those standards to all concerned before the performance of the operations in question are indispensable features of the entire process. For it is not possible to make a proper evaluation in the absence of such standards with which the people concerned were adequately familiar at the time the work was carried on.

In the absence of clear and fully understood standards the evaluator is compelled to compare work results with other standards which he may, of necessity, have to formulate during the course of the evaluation. Obviously when that is done the standards that are being applied were unknown to the principal when he was doing the work. Such an arrangement as this will, of course, almost certainly result in confusion and possibly no little resentment. Under such conditions, the evaluation results might well be of no value. And it is readily possible that they would produce a clearly detrimental consequence.

Even though the standards requirement has been satisfactorily met there is still another distinct hazard to be given proper consideration in the evaluation process. Naturally, the standards that are prescribed should represent the results that are considered acceptable under normal or average conditions. We can readily recognize the obvious impracticality of attempting to establish for each job as many standards, as many sets of acceptable results, as there are possible conditions that might exist while the job is being carried on. Accordingly, the judgment of the evaluator



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must, of necessity, play an important role. For he must determine the acceptability of the performance, by comparison with appropriate standards, under the conditions that existed when the work was performed.

For example, a new and comparatively inexperienced employee could normally not be expected to display the same level of competence as an "old" experienced employee with both assigned to jobs that were essentially the same and of comparable difficulty. Or, an employee's performance might fall well below the established standards in certain aspects of the job solely by reason of an unforeseeable emergency development. But under such abnormal conditions as these the individual may have performed in a manner that was well above the level that could normally be expected. It is clearly evident then, that the evaluator must be familiar with, and take into consideration, three distinct elements. First, the appropriate standards that were prescribed. Second, the manner in which the work was carried on and the results produced. And third, the circumstances that prevailed during the period in which the work was performed.

#### Performance Standards At All Levels

The performance standards feature is so important that a few additional comments are considered to be entirely justified. To begin with, performance standards are necessary at every level and for every job. With respect to jobs in the management area it is not particularly unusual for this important requirement to be rather alarmingly deficient. It is true that many aspects of the manager's job are often quite clearly defined and it is equally true that the vital management aspects are often quite vague. The formalized statements of duties may include such phrases as "coordinate operations," "apply sound management principles," and the like. But it is not unusual for the statement to be devoid of definite





indications as to what constitutes effective coordination and what the major elements are that constitute sound principles of management. These represent essential requirements which no organization can afford to leave to the judgment of individual officers. For when that is done there does not then exist appropriate or acceptably uniform standards for those who occupy managerial posts and the same deficiency exists with relation to those whose function it is to determine the acceptability of the operations of each of those managers. The presence of such a condition is usually quite evident in the management practices that are followed.

There is another hazard that appears to be present to an entirely unjustified degree. And that is the fallacious viewpoint that the evaluation of the performance of individuals in high level positions is of much less importance than it is with relation to those occupying less responsible jobs. And the attitude does exist, to some extent at least, that the higher-ups are virtually immune to performance ratings which are other than entirely acceptable. There appears to be no valid basis for such viewpoints. When this attitude is present it tends to encourage these individuals to "rest on their laurels," with such obvious results that their enumeration is not necessary. Such a condition may be avoided by the recognition and application of the principle that assignment to a high level management position is, of itself, no assurance that the incumbent will operate in accordance with sound management principles. Actually, the relative need for effective performance evaluation at the higher levels would appear to be still greater. For these people cost more. They represent bigger investments. And they exert more influence upon operations than do those who are below. It would appear to be just good common sense, good management, to accord attention to investment features on the basis of their relative importance



within the enterprise.

### WHEN TO EVALUATE

Actually, the proper evaluation of subordinate performance is a virtually continuous never ending process. The questions of when and how the evaluation should be formalized and recorded are entirely different aspects of the function.

In the course of routine association with subordinates the superior is constantly reviewing and evaluating their operations. As the result of this association, when it is carried out effectively, the proper relationship between the boss and his people will be developed. And as a result, the subordinate should never have reason to entertain doubt as to how he is getting along in the opinion of his boss. This kind of relationship and the clear understanding that results from it are conditions that are basically necessary to effective management.

#### How Often?

We do not mean to infer that it is necessary or even desirable for the superior to explain to each subordinate, every day or two, just how well the superior thinks the subordinate is doing his job. This is something that does not have to be done and should not be done that often. For in routine association the superior conveys the necessary information in a variety of ways. When the subordinate is doing average work there should be little opportunity for misunderstanding and little justification for the absence of a fairly complete understanding. But it is extreme conditions that need special attention.

When an employee is performing well below the prescribed standard his boss is failing to do his job if he does not promptly acquaint him with this fact, and if the cause of the difficulty is not determined and





attempts made to bring about acceptable improvement. Of course, the boss will usually find it quite difficult to determine the cause and to decide upon a logical course of corrective action all by himself. He will not only find it rather difficult to get the answers to these questions, but equally difficult to get the right kind of results. The employee whose work is not up to standard is usually able to make some real contributions. For after all, he is the one closest to the job. He is the one most familiar with the details of the work. And he is the one who is most interested in seeing to it that the work he does is performed in such a way that it is considered to be wholly acceptable. For after all, the employee has everything to lose and everything to gain. He knows that if the situation is not corrected, the chances are good that he will suffer some kind of a penalty. And he has good reason to believe, as well, that if it is corrected he will not be penalized. And in addition, he will derive a great deal of satisfaction from knowing that he is "doing all right." The capable supervisor will recognize how important the whole question is to the subordinate and the supervisor will see to it that the subordinate takes the lead, or at least takes an active part, in their mutual efforts to bring about the necessary improvement.

Naturally, it is of at least equal importance that the individual who is doing acceptable work be made familiar with that fact. And it is of still greater importance that those who are doing above average be made familiar with that fact. For they will not be aware of it unless they are informed. That is, they will not be certain of it. They will, of course, have their own individual opinions as to how they are doing the job. But they will not know if their own views are in agreement with those of the boss. Their views are frequently not in agreement, and are at times in substantial disagreement. Such information must be provided and it must be complete and





entirely clear. There should never exist any opportunity for uncertainty, in this respect, in the mind of the subordinate.

### Concentrate on The Good Things

It is very difficult to understand the reluctance on the part of some superior officers to take positive action with relation to above-average performance. These same people are often much less hesitant to voice their views when conditions are substandard. Particularly when the state of unacceptability is relatively unimportant. These same individuals will voice profuse praise for a particular piece of equipment with which they are especially pleased. Of course, what they may say about an equipment item will have no effect on the performance of that equipment. But what they say to a subordinate about his work will have a decided influence upon the way he operates. Every individual who is responsible for directing the activities of others must recognize that each individual reacts favorably to praise and to credit to which he is entitled. That every individual will perform more effectively if he receives the credit he deserves. And that if he is not given the deserved credit he will not do his best.

In most any successful organization its members turn out more work that is acceptable than that which is not. It would seem to be very evident then, that complete evaluation of all performance will, in the aggregate, produce a substantially greater volume of results on the credit side. That more praise than censure is certain to be the result if the true situation is determined and recorded. It obviously follows, that the individual personnel file of the average or better employee will reflect the true condition only when the documents it contains which express credit exceed those which do not.



### Periodic Discussions

As we mentioned earlier, it is undesirable for the superior to engage in the more formal type of discussion with the subordinate, with reference to the quality of his performance, at too frequent intervals. Such a word of caution may be superfluous for the real problem is the practice of too few discussions rather than too many. We also mentioned that it is the responsibility of the superior to operate in a way that is in the interest of maintaining a clear understanding by all, all of the time. But it is hardly appropriate for the superior to assume that this clear understanding exists even though he is constantly aware of his responsibility in the regard and believes that he is doing a good job of maintaining the proper relationship. To assume, too long, provides too much opportunity for the subordinate to take too much for granted.

Just like every other administrative function it is necessary to maintain adequate controls. It is necessary to check up now and then in order that there may exist positive assurance that a clear understanding is present. One of the best ways, and possibly the only way, to accomplish this is for the superior and each of his subordinates to get together, at periodic intervals, and discuss frankly and thoroughly the manner in which the subordinate is carrying out the duties of his job. Such discussions should never be hurried and they should be so complete, detailed, and conclusive that there remains, at the end, no uncertainty in the mind of either party.

Of course, it is not possible, not even desirable, to arrive at a predetermined decision as to the frequency with which such discussions should occur. The general rule that should be followed should be based on such frequency as is desirable and necessary. Under some conditions





it may be advisable to provide for such an understanding at intervals of a few months. And it would certainly appear that with less frequency than once a year would hardly be adequate. Of course, the final responsibility for making certain that this formal exchange of views is not permitted to become long overdue rests with the superior. At the same time the subordinate is not relieved of all responsibility in this regard. For he must enjoy the privilege of requesting, and being granted, such a review whenever he considers it to be desirable. And it is his responsibility to make his desires known. In final analysis, the proper relationship exists only when either party, the superior or his subordinate, voluntarily and without hesitation proposes that such a discussion occur whenever he considers it to be the desirable thing to do, and when the expressed wishes of either are fully respected by the other.

These more formal type discussions are, in essence, nothing more than periodic confirmation of an understanding that should have prevailed all along. They make definite provision for "making sure" with sufficient frequency to prevent any disagreement or misunderstanding to become of long standing. They provide full opportunity to resolve any misunderstandings and to "firm up" any existing agreements in need of extension or renegotiation.

If such discussions disclose the existence of individual views, individual understandings, which are in substantial disagreement with those which either or both presumed to exist, a definite deficiency is indicated. There is something in need of positive attention. Such a disparity may exist for anyone of several reasons. It may indicate that the routine operating practice needs to be improved. Or possibly the organizational structure may





be somewhat faulty. Or the condition may be brought about by certain outside influences of which either or both are not fully aware. But in any event the important thing is that positive steps be taken to correct the revealed discrepancy.

#### Put It In The Record

For the superior and his subordinate to discuss these things and stop there is not enough. Possibly they have covered everything thoroughly and there is no question in the mind of either concerning the conclusions that were reached. But the elapse of time tends to distort, and there is always a good chance that after so long a period of time certain of the items that were covered or the decisions that were arrived at may be forgotten. And it is desirable, many times, for others who were not present during the discussion to be able to check back and get the true facts about what took place. For these reasons, and others as well, it is important that each such discussion of any particular consequence be made a matter of record. One satisfactory way would be for the superior to cover the points discussed and the conclusions arrived at in a memorandum to the subordinate. It is important, of course, that a copy of this document be placed in the subordinate's file. It is possible, at least under some circumstances, that the benefits to both individuals would be still greater if this document confirming the verbal understanding is prepared by the subordinate. If this practice was followed it would bring him into the picture to a still greater extent, and there is everything to be said in favor of accomplishing just that. Regardless of who develops the confirming document, it is imperative that it reflect acceptance of its content by both the supervisor and the subordinate.



The wording of this statement of understanding is particularly important. Obviously, its content should be accurate. It should be concise, but not to the degree of sacrificing clarity or completeness. It should represent the complete evaluation of the two individuals with respect to the manner in which this employee has carried out the requirements of his job. There should be included positive reference to the broad areas, as well as some of the specific ones, in which the individual's performance has been average or above. Specific accomplishments that are considered to be outstanding in character should be cited and should be sufficiently elaborated upon to insure that the individual receives justified credit and recognition and to make doubly certain that the significance that is attached to those achievements will be readily recognizable.

Obviously, areas of deficiency need to be clearly indicated and plans that were mutually agreed upon for effecting improvement in each of these cases need to be covered fully. This would include clear-cut indications with respect to the responsibilities of each in carrying out these plans. It would seem to be very evident that in any such performance appraisal memorandum involving the activities of the better-than-average employee, the references that are commendatory in character well over-balance the cited deficiencies. For if this record did not reflect this sort of situation the appraisal itself, or at least the results of it, are either not complete or are inaccurate. This document which is of such concern to the principals must portray the true and complete situation, not just part of it.

#### Importance of Recording

It would be very natural to ask the question as to the need for developing this record with the precision we have indicated if there is no disagreement, if no doubt exists with respect to the results of the verbal





understanding. There would appear to be quite a number of good reasons.

1. The possibility of misunderstanding is substantially reduced.

2. The document serves as a check list to insure that verbal consideration was complete, to make certain that important things were not overlooked.

3. Each party then has a future reference document that is identical in all respects. The material that is recorded may be used very effectively in carrying out the agreed upon plan of action as well as in subsequent evaluations. The document is, in essence, a work plan.

4. Of particular value to everyone is the fact that a permanent record is thereby established, not only for the information of interested officials but for utilization by them in many ways. The aggregate record represents a complete and comprehensive history of the individual's career. It reflects completely and accurately how the employee responded to various types of work situations, the character and extent of his work experience, his demonstrated attributes, and the considered judgment of each superior with respect to the employee's capabilities and potentials. Such a record would appear to be invaluable to the entire management force. It would further appear that an organization not possessing such complete information concerning its employees would find it to be very difficult, virtually impossible, to apply with effectiveness certain operating practices which are essential to sound management.

5. Possibly the greatest value of such practice rests in the benefits derived by the principal, the individual employee, whose activities the record deals with. The attention and the concern that has been evidenced by his boss by management, toward him and his job does considerable to encourage him to perform to the limits of his ability. For his virtues have been recognized





and they are in the record. And his weaknesses have been identified and those people who to no small extent control the destinies of this individual are in possession of positive evidence concerning the success with which such weaknesses were overcome.

### VALUABLE RESULTS ARE CERTAIN

We are familiar with a number of organizations in which this extremely important function of performance evaluation has been carried out precisely in the manner we have just described. Some of the consequences with relation to just one of the organizations to which we refer might be of interest.

The practice that was followed paid real dividends. And the investment with relation to the value of those dividends was negligible. The overall basic benefit, in the form of an unusually high level of efficiency, stemmed principally from existence of an over-present clear understanding between each superior and each one of his subordinates. The practice was not applied on a hit-and-miss basis. It was followed throughout the entire organization, from the chief executive all the way to the bottom. The entire management force looked upon the practice with high favor.

But those who favored it the most were, naturally, the ones who were affected the most. Those who are so often identified as "rank and file." They reacted so favorably because they know what they were the ones who benefited the most, because they knew where they stood all of the time, because they knew it gave them the chance to show what they could do and that they would get credit for what they did, because they knew that the treatment and consideration they received would be based on the true record not on the fluctuating whims of a few individuals. Any inclination on the part of management to discontinue the practice would have been met with bitter opposition by the vast majority of the people in the organization.



This would not have been only a tacit objection, their views would have been made known so completely and in such a manner as to leave no question of doubt. For the practice itself had created the kind of atmosphere in which there were no obstacles to frank expression.

#### HOW RESULTS SHOULD BE USED

Naturally, the benefit resulting from the possession of any kind of information is directly dependent upon the extent and manner of utilization. The same thing is true with respect to the knowledge that is obtained in the performance evaluation process. If this information is not used, properly and adequately, it is very doubtful if the advantages resulting from the process will offset the deterrent effects of failure of utilization. But if this information is utilized, in the manner and extent to which it should be, substantial gains will be shared in by all.

#### Helps Accomplish Needed Training

The identification of the training needed by individual employees represents one of the important results of effective performance evaluation. The determination of such training needs is much more complete and accurate because of the thoroughness of consideration and because the two people who are best qualified and who are most concerned are the ones who make the determination. There is the certainty, too, that a more thorough and effective job of training will be done, since the needs that are identified are recorded and the steps that will be taken are set forth in a definite plan of action. There is almost positive assurance that the plan of action agreed on will be put into effect, at least sooner or latter, as the problem, until it is resolved, is repeatedly called to the attention of those who are responsible. It is always evident to all who are immediately concerned and to their bosses as well, that the providing of the required training is "unfinished business"





until such time as proper action has been taken.

### Better Placement Of People

An effective job of performance evaluation identifies those individual employees who are misassigned. But it goes much farther than mere identification. The reasons behind the misassignment are brought out into the open and are given timely and thorough consideration in mutual efforts to effect whatever adjustments are necessary and desirable.

Other interests and other proficiencies of the individual are uncovered and may be given proper attention in determining where such qualities may be utilized to the best advantage. As these discussions review the kind of performance that this individual has demonstrated, the basic causes behind the several performance levels are brought right out into the open. Attributes, preferences, experiences, and other important elements which might otherwise remain unknown are revealed and may be utilized to place the employee where he will serve to the best advantage of all concerned. Because this type of basic information is brought out clearly, is freely discussed, it may then be possible to make arrangements whereby the interests of the employee and of the organization are met to the fullest practicable extent. A true career system is then possible. Without this information a career system that produces real results is not possible.

If the performance evaluation job is looked upon as a necessary evil, something to be gotten done as quickly as possible, something that justified no more than perfunctory attention, it is highly probable that the information that is needed about the individual will not be acquired in some other way. And when the right kind of information is not in the possession of the right people all of the factors needing to be taken into consideration in effecting employee assignments will to some degree be based on expediency, snap-





judgment, and not infrequently there will be little regard for anything other than the immediate work demands. When this represents the regular practice, assignments that are in opposition to the employee's wishes and are in conflict with the best interests of the individual and the organization will not be exceptional. And the results will not be acceptable.

#### Reveals And Helps Correct Deficiencies

When the quality of performance of an employee is properly determined, and when such determination reveals serious deficiencies, a positive and forthright course of action is mandatory under a sound management system. Investigation of the situation may reveal that it is so flagrant that immediate separation action is appropriate. Usually, however, an efficient management force will determine that it is logical to attempt to remedy the revealed deficiencies. And an orderly course of action will be taken to attempt to bring about that result. But if these efforts are not adequately productive that fact will be evident in the course of subsequent re-evaluations which are called for and are carried out under the system that is in effect. When all reasonable efforts to overcome such deficiencies prove futile, separation may be the only remaining course of action.

When this is the case the issue must be faced and the action that is appropriate must be taken. And the action that is decided upon and taken must give justified consideration to the interests of the principal involved as well as those of the organization.

In such situations it is always necessary to recognize the inherent dangers and to be prepared to act with promptness and finality. Weak managers may be inclined to rationalize to such an extent as to "doctor up" the rating, so as to avoid facing an issue which, to them is looked upon as being distasteful. This is not just a remote possibility, something we are



imagining but could not happen. It has happened, too frequently. Of course, any such evidence of weakness must be recognized and dealt with promptly. To condone such a practice is to take the first long step toward the breakdown of the total system. Should such a weakness on the part of any supervisory official be revealed that fact immediately becomes a matter of real concern. It represents a deficiency calling for prompt and decisive action. And the thorough investigation that is then warranted may well disclose other weaknesses in the operations of this supervisory officer that were previously unknown. For it is seldom that a manager is extremely deficient in this major aspect and fully qualified in most of the others.

#### The Basis For A True Career System

In every going organization vacancies are certain to occur. They are brought about, of course, by separations which take place for a great variety of reasons, as the result of expansion of operations, and from other causes with which we are all familiar. In the well managed organization a high percentage of the candidates with the necessary qualifications for assignment to such vacancies will be available from among the current working force. The identification of those employees who are capable of handling more responsible assignments, the promotables, is another important use of the results of the performance evaluation function. To use any other radically dissimilar means for making determinations of this nature is a practice that is open to serious question.

As we all know, in an organization that is well managed, it will be the standard practice to fill a substantial proportion of accruing vacancies by "promotion from within." Actually, there cannot be present a true "career" system in the absence of such a practice. And the first major step in the application of any career system is the identification of those currently





employed individuals who are qualified to handle the more responsible assignments. Naturally, such information needs to be maintained on a strictly current basis. The accumulation of information of this nature should be recognized as an integral part of the management operation. And when that responsibility is recognized and redeemed the complete information that is needed with respect to each employee will be available when it is required. For it will be appropriate, in many instances, to arrive at definite decisions with respect to selection, and to take definite action with respect to assignment, before the vacancy actually develops. Naturally, such definite action may not precede unforeseeable vacancies. But many can be foreseen.

It is readily apparent, of course, that it is seldom, if ever, possible to promote the majority of those employees who are qualified for promotion. This is something that the average employee recognizes, especially if he is given all of the information he should have, and he is not particularly disturbed about the situation if there is reasonable opportunity for advancement. However, he is concerned, and rightly so, about the opportunity for consideration. If he knows that he will receive proper consideration, will not be overlooked, and that logical selections will be made, in the considered judgment of those responsible for making such decisions, that is all he asks for. He knows that effective performance evaluation and the proper utilization of the results represent the firm base on which a true career system is established.

#### Rewards The Good Worker

There is one more valuable use for the results that are obtained. And that is the identification of those individuals who are entitled to higher pay in their present jobs. There is a great deal of difference between the





qualifications that are necessary for more pay "in place" and those that are required for more responsible assignments.

In some organizations demonstrated efficiency on the job has relatively little bearing on the rate of pay of the incumbent. Of course, there are many existing systems which provide for pay increases for those who are determined to be particularly outstanding in their performance. However, because the monies that are "budgeted" for this specific purpose are inadequate, the number receiving this type of benefit is often comparatively small. Also, there are some systems which provide for seniority pay increases, which may provide for the payment of fixed amounts at uniform intervals so long as the performance of the individual is not unsatisfactory. There is much to be said in favor of this practice. However, it would seem to be more nearly in line with good management if rather considerably more emphasis was placed on the quality of performance of the incumbent in fixing the current rate of pay for any position. The application of the policy whereby pay increases would be given at relatively uniform intervals to those meeting or exceeding the established proficiency levels would appear to be entirely appropriate, fair and equitable, and desirable in all respects. Under such an arrangement there would be present a very tangible incentive, a feature which is needed, and one which should exert considerable influence upon the efficiency of the individual worker. It is evident that in the application of a plan such as this, realistic and currently appropriate standards of operation would be essential. Such a tie-in with pay rates might be one of the ways to help get this important job done.

#### HOW MANY "RATINGS?"

Considerable concern and substantial disagreement about how many "possible ratings" are necessary represents a rather normal situation.



One that has been receiving a great deal of attention. Probably much more attention and concern than is justified. For there is not a great deal of significance attached to a single adjective rating such as outstanding or excellent, good or average, unsatisfactory or poor. And the opportunity to choose between three or a half dozen or more of these adjective ratings represents a feature that is relatively unimportant with respect to the overall effect. It is the completeness and the clarity of the information possessed by the individual, with respect to the character of his performance, that really counts. And there is no single adjective rating that will serve adequately, that will supplant this knowledge.

But management needs to be very much concerned about considerably more than just the level of acceptability of the performance of the individual employee with relation to his present job. And there is no single result, no single rating, which will reflect all of the kind of information that is needed. To insure the proper treatment of the individual employee and to maintain, in a systematic fashion, a well qualified working force, it would seem to be necessary that the system make provision for a minimum of three ratings. Not just three adjectives but three sets of information, each adequately complete to serve a specific purpose. The three ratings, or three sets of evaluation results, which appear to be required, are these:

1. A performance rating for the current job. Reflecting the acceptability of performance with relation to the job the employee is now on. To identify those who are performing at levels of efficiency which entitle them to pay increases right where they are. To identify those whose performance, of itself, does not entitle them to more pay. Of course, the system may make provision for a pay increase based on tenure in the current assignment. And to identify those whose performance, on the present job, is below





an acceptable level.

2. A performance rating which reflects the suitability of the individual for assignment to a more responsible position. The elements considered here would, of course, differ somewhat from those receiving attention in determining rating number one. Of course, some individuals receiving high ratings with respect to their current jobs would also receive high ratings with relation to their suitability for more responsible positions. But there would be some, too, who would receive high ratings in the first instance but not in the second. And the reverse condition would also be true. For the qualities, proficiencies, and capabilities called for in the current assignment are frequently somewhat different than those that are necessary for jobs that are somewhat more complex or otherwise more difficult.

3. An individual, more personal rating which reflects the comparative value of the employee of the organization in the long run. Here again, the elements for consideration are often substantially different than those which have application in the other two areas. And because the primary objective, in this instance, is entirely different than either of the other two, it is to be expected that the rating that is proper for this purpose will at times be different than those that were entirely appropriate for either or both of the other purposes. Primarily, this rating would be used to determine which employees should be kept and those which should not be retained whenever it became necessary to reduce the total working force. For when a reduction in staff is required, it is often necessary to combine certain operations and to reduce or discontinue others. And it would not be unusual to determine that an employee who had demonstrated outstanding competence on one particular job might be poorly qualified for assignment to the other kinds of work remaining after the adjustment had been made.





It would seem that no "single rating" system would meet all of these requirements. And it does appear that the three that are described are necessary. The first rating that is mentioned would be required to meet current needs. And the same thing is true with respect to the second one, for the results of it would be, in effect, the "list of promotables" data constituting the basic component in the career system. The third rating would not need to be developed at fixed intervals. This operation would be performed only at such times as the need for the information was determined to be probable or certain.

#### THE SYSTEM--HOW IMPORTANT IS IT?

We are all familiar with one or more "prescribed systems." But any system, standing alone, means little. Of course, a system is necessary and it is not the least bit difficult to develop one that most everyone will agree is good. However, at best, a system can do nothing more than serve as "assist" for those who are responsible for applying it, for carrying out the provisions stated in it.

The very best systems not properly applied and utilized will be of little value. On the other hand, an organization with no "system" at all, but with highly competent administrative heads will produce results that are entirely acceptable, and often commendable. It is not the prescribed system that is the key to success in this phase of administration. It is the day-to-day way of doing things that is all important. In the Federal Government, Congress prescribes the system. But Congress cannot prescribe every single feature inherent in the application of that system. Nor can Congress give the administrative direction that is necessary to see that the system prescribed is applied in accordance with the spirit and intent of its language. As a consequence, there may be the tendency on the part of some who are responsible



for operating under the system to convince themselves that literal adherence to the stated requirements is all that is necessary. This is one of the inherent hazards in any attempt at piece-meal legislation of the administrative function. This is something that should not be attempted, for it cannot be done.

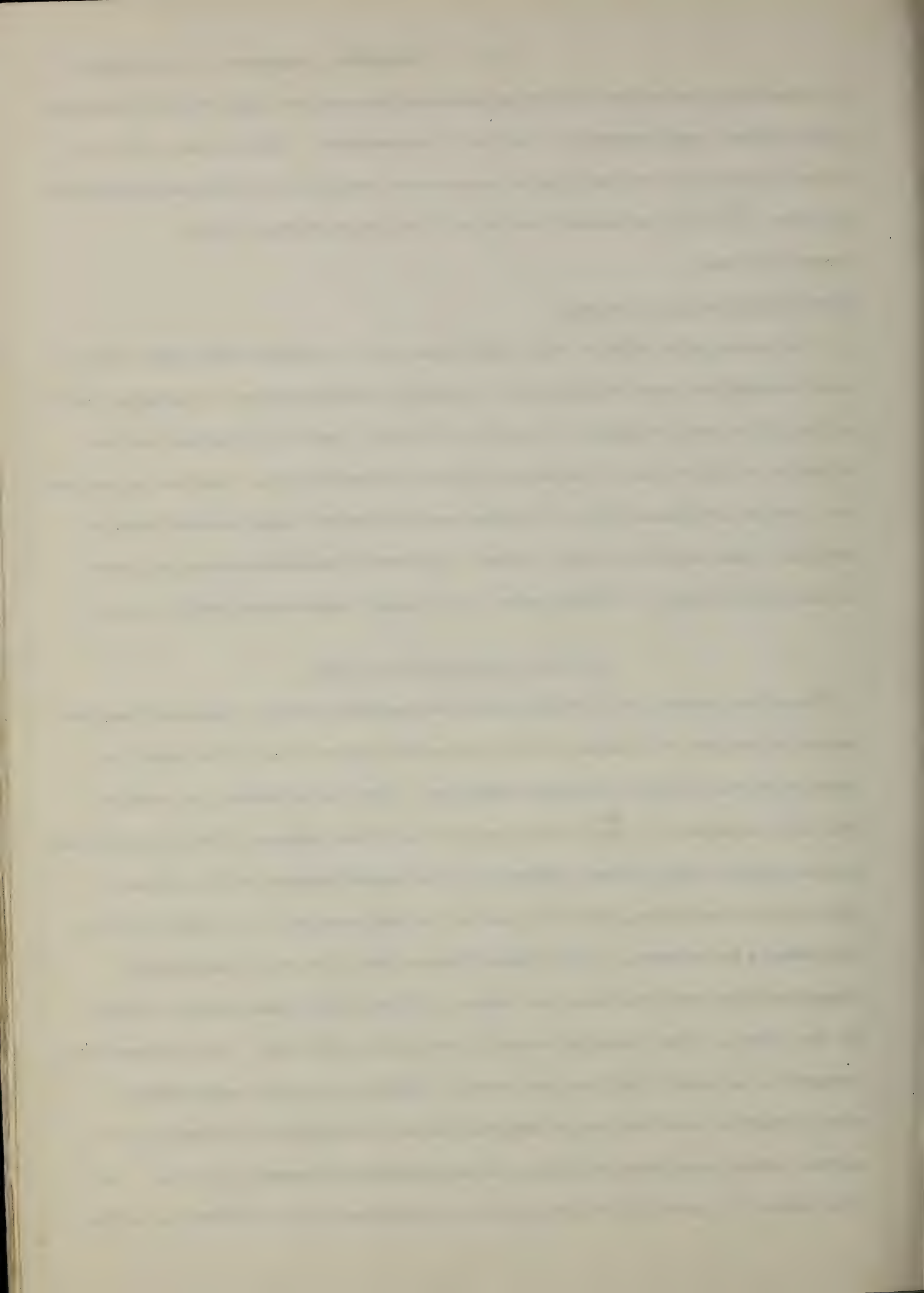
#### The "Requirement" Concept

The managerial officer must understand and accept the fact that performance evaluation is an integral part of sound administration, an integral part of the job of each manager. And like all other "parts" its value, its contribution to the whole, is dependent on how effectively the function is carried out, not on how closely there is adherence to some "requirement" that is imposed from within or from without. Effective administration can never be achieved merely by "adherence" to a stated requirement and no more.

#### A REAL MORALE BUILDER

The effectiveness with which employee performance is measured and the extent of proper utilization of the results will not entirely determine the state of morale of the individual employee. But the influence on morale will be tremendous. There are a number of other phases in the management process which exert strong influence in the establishment of the morale state but no one phase, standing alone, causes morale to be high or low or somewhere in between. All of these phases are, however, so closely integrated that each one exerts a strong influence upon the morale effects of the others. The manager needs to recognize this fact. And he needs to recognize, as well, that the detrimental effects of just one substandard administrative practice may effectively offset the desirable influences of several other practices which are of unquestionably sound character. In this respect, a good job of performance evaluation will contribute much to





a desirable state of affairs. But perfunctory treatment of this function will make a still larger contribution, in the wrong direction.

A BASIC REQUIREMENT FOR EMPLOYEE  
TRAINING AND DEVELOPMENT

The first responsibility of the manager is to create and maintain an efficient subordinate force. The creating and maintaining processes are accomplished through individual employee training and development. In order to accomplish this objective, in order for him to prove himself to be competent, the manager must know what the subordinate needs in order for him to improve, to grow. Of course, this is information that both must have in order to get the results both want. And one of the ways, probably the most important one, to get this information is to do a good job of determining how the employee is operating in relation to how he should operate. The results of this determination are then utilized in providing the training that is needed. It is this administrative area, employee training and development, that we will consider in the section that follows.





UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE-MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 8

EVALUATING EMPLOYEE PERFORMANCE

WORK ASSIGNMENT

1. In your own words, briefly explain why it is desirable to evaluate the quality of performance of individual employees.
2. Explain the fundamental process, identifying the items of major consideration, that should be followed in evaluating the performance of the individual employee.
3. In your opinion, what are some of the conditions that are likely, or certain, to result when the manager considers performance evaluation to be a needless requirement, and clearly evidences that belief in the manner in which he carries out this function?
4. List at least four specific ways in which performance evaluation results should be utilized.
5. Describe the type of performance evaluation system you consider to be most beneficial, identifying its pertinent characteristics and the practices that are followed in the effective application of the system.





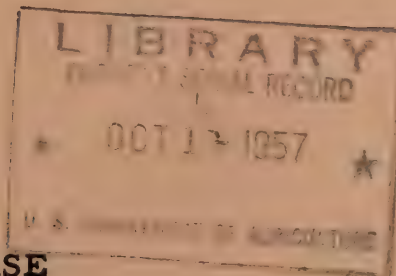




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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION



CORRESPONDENCE COURSE

IN

MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 9

TRAINING AND DEVELOPING THE EMPLOYEE

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WASHINGTON, D. C.  
1957





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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 9 - TRAINING AND DEVELOPING THE EMPLOYEE

WHAT IS TRAINING?

A great many people do a great deal of talking about this business of training. It appears that there are about as many ideas as to what training is as there are people talking about it. As these individual viewpoints are so many and of such variable character it appears to be very obvious that all of them cannot be entirely correct. Possibly we can look into this condition rather thoroughly and arrive at some definite conclusions.

Some people express the view that training is that which is acquired through attendance at institutions of learning. Some seem to think of it only as a formalized, classroom teaching operation. Others are of the opinion that it is different than "education" and that it takes place "on the job." Some look upon training as that which occurs only after the trainer has given the selected recipient the warning, "Now I am going to train you." Still others believe that there is no training done unless it is "programmed." And there seems to be a great many who are convinced that the only people who do any training in an organization are the people with the title of "training officer."

It appears to be very evident that no one of these viewpoints is entirely correct. That some of them are alarmingly shortsighted and perhaps grossly inaccurate. And it seems quite evident that the whole area is characterized by rather extreme vagueness. Whenever there is the absence of a relatively





uniform understanding with respect to any phase of the management function it would appear appropriate to conclude that the situation represents a rather alarming deficiency. One needing a great deal of attention. And as any deficiency represents a training need it seems logical to believe that one of the most important training jobs to be done right at the very beginning is to try to get management people to understand just what training is, to come to a reasonable degree of agreement about it. To cause the job, the function, to be viewed in proper perspective.

### The Manager's First Job

At the very outset it would appear that we should recognize and accept the fact that the primary function of the manager is to develop his people. To develop them so that each one will do his job efficiently. So that many of them will become qualified to progress to increasingly responsible assignments, and thus be able to perform acceptably the more and more difficult jobs expected of them, the jobs that will prove more remunerative in a great variety of ways. With the manager, whoever he may be, taking an active part in the development of the individual until the latter reaches his top capacity or until logical advancement opportunities are exhausted. One of the primary objectives of the administrative official should be to develop his people so that his subordinate unit will function effectively without him. And in accomplishing this there needs to be the further objective of eliminating, in some way, the type of management officer who is actually an occupational hazard. The one who strives to fix things in his outfit so that he will be looked upon as indispensable, tries to get all of the rest of the people to believe that nothing would go exactly right if he wasn't around.

The natural question is, how does the manager go about developing his people? The great majority of the problems, the difficulties, and the

Introduction

The purpose of this study is to investigate the effects of various factors on the growth and development of the human body. The study is designed to provide a comprehensive overview of the physical changes that occur during the human life cycle.

The study is divided into two main sections. The first section, titled "Physical Growth and Development," covers the changes in the body from birth to old age. The second section, titled "Factors Affecting Growth and Development," discusses the various factors that influence the rate and pattern of growth, including genetics, nutrition, and environment.

Physical Growth and Development

The first section of the study, "Physical Growth and Development," is divided into three sub-sections: "Growth in Height," "Growth in Weight," and "Growth in Body Composition."

Growth in height is the most noticeable change in the body during the human life cycle. It is a process that begins at birth and continues until the late 20s or early 30s. The rate of growth is highest during the first two years of life and then slows down significantly.

Growth in weight is another important aspect of physical development. It is a process that begins at birth and continues throughout life. The rate of growth is highest during the first two years of life and then slows down significantly.

Growth in body composition is a process that begins at birth and continues throughout life. It involves changes in the relative proportions of fat, muscle, and bone in the body.

The second section of the study, "Factors Affecting Growth and Development," is divided into three sub-sections: "Genetics," "Nutrition," and "Environment."

Genetics is the most important factor in determining the rate and pattern of growth. It is the primary determinant of the final height and weight of an individual.

Nutrition is another important factor in determining the rate and pattern of growth. It is the primary determinant of the rate of growth during the first two years of life.

Environment is a third important factor in determining the rate and pattern of growth. It is the primary determinant of the rate of growth during the first two years of life.

The study is designed to provide a comprehensive overview of the physical changes that occur during the human life cycle.



deficiencies confronting every manager are caused by employees, by members of his staff, who cannot do something, do not know something or just do not care. There is but one way to overcome these conditions, one way to correct this type of situation. And that is by training. Actually, there is no other way.

What does the manager do then, to see that his people get the training they have to have so that they can do, so that they will know, and so that they do care? First of all, the manager must understand what training is, where it comes from, what it does, and where it goes. He needs to realize that everything every person voluntarily does is the result of some kind of training. People do what they do, when they do it, and how they do it because of some training they received at one time or another.

Also, the administrative official must understand that people receive training from a great variety of sources. That some of these sources are apparent and some are not. That some are readily available and some have to be arranged for. That some can be controlled and some are not subject to effective control. He needs to identify those things he can control. He needs to develop a definite plan of action and needs to carry out that plan to the best of his ability for that is what his superiors expect him to do.

#### It's Impossible Not To Train

Every manager needs to recognize that training is ever present in every work situation. It is not something that can be turned on when we want it and off when we don't. We have heard managers in high level jobs make this statement: "We don't have any training going on now." How wrong they were. They would have been no more incorrect had they said "We are not going to have any weather tomorrow." For training, like the weather,



is always with us. Like the weather too, it is good, fair, or bad. And that is something else that every administrative officer should understand clearly and completely. That training can be, and often is, both good and bad.

As a result of these observations it appears that we must arrive at two very definite and basic conclusions. First, that training is the result of an influence. And second, that these influences which result in training can and do, produce results that are both desirable and undesirable.

At this point can we not agree that we would be justified in briefly defining training in this way - Personnel Training is the result of any type of influence which affects in any form and to any degree, the attitude, proficiency or mode of operation of the individual.

#### Enough Of The Right Kind

Each one of us would, no doubt, experience no difficulty in recalling many cases of poor training, of training which resulted in undesirable attitudes, in inefficient performance, in illegal acts, and in activities which were in conflict with established social standards. To illustrate, we might mention just a few examples. Some counterfeiterers have become so proficient that they have pursued their occupation with "unusual success." Many pick-pockets, card sharks, and safe-crackers have become exceptionally capable in their respective professions. How was this unusual degree of proficiency acquired? There can be but one answer. Through lone and perhaps arduous training.

And there is still another example that we might mention. One that causes us a great deal of concern. It is the case of the supervisor who learned "how to supervise" by following the patterns set by a manager who violated almost all of the recognized principles of good management.





The individual who learned to supervise in this manner acquired this proficiency, if it may be called that, through training. Perhaps he was very thoroughly trained. But in any event it must be admitted that the examples mentioned are not hypothetical ones. They are situations with which each one of us is all too familiar. Can there be the least bit of doubt that an individual can be very thoroughly trained and still be unable to operate in an efficient manner?

It seems quite evident, at this point, that the manager needs to concern himself about much more than the question of seeing to it that his people are trained. He needs to be vitally interested in making certain that, (1) his people receive enough of the kind of training they need, (2) the training received will produce desirable results to the extent required, and (3) there are no training influences present which will produce undesirable results.

#### WHY EMPLOYEES NEED TO BE PROPERLY TRAINED

It is seldom that an employee is fully qualified, at the time he enters on a new job, to perform efficiently the activities of that assignment. Of course with some exceptions, management usually makes an effort to select "qualified" people. This usually means that certain educational and experience requirements are looked for in the people who are hired. In many instances qualifying examinations of various kinds enter into the selection process. But how good a job of selection is done depends upon many things. The extent to which sound management principles are applied, in making selections, probably exerts the greatest influence with respect to the acceptability of the result. Individuals who are chosen for jobs which require specific skills, of the conventional type, are generally quite well qualified. And the same thing is often true with respect to those who are employed





for certain of the professional, scientific, and technological operations. But when it comes to manager selection an entirely different kind of approach seems to be far from unusual.

#### Base Manager Selection On The Job To Be Done

In the selection of supervisors and other managers it is not too unusual to find that selection results are not much better than they would be if based on the element of chance alone. Of course, some sort of process is usually resorted to but the attributes of that process are sometimes rather hard to perceive. The not sufficiently infrequent placement of less than fully qualified people in managerial posts appears to be due to one major cause, and to a few subsidiary ones.

The biggest reason is failure to recognize what the manager's job really is and, as a consequence, the failure to require that the people selected possess the qualifications that are needed to do the job. Consequently, a goodly number of managers are selected from those who have demonstrated competence in other highly specialized scientific, professional and technical fields. It is not unusual for these people to have had virtually no administrative experience. Many have devoted their time and interests to the areas in which they were "educated" and have not been given the opportunity to gain much management experience. The fact that they have shown up well in their restricted specialties, as individual performers, is, of itself, no indication that they are capable of administering any sizeable undertaking. As a matter of fact, there is good reason to believe that this demonstrated specialty competency may be some indication of some possibility of the lack of capacity for the administrative function. But considerably more about this later.

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The Job Of Changing The Habit Pattern

If a reasonably good job of selection has been done it may be expected that the new employee will possess at least the basic requirements with relation to the technical aspects of the job for which he was employed. But aside from the technical features of the assignment the new employee will, almost invariably, need assistance to become familiar with organizational policy and operating practice. Every organization operates according to rules, procedures, practices, precedents, and policies which are, to at least some degree, different than those prevailing in any other organization. The new employee needs to become acquainted with the ground rules in his current environment. If his work experience background is quite limited this phase of the process of indoctrination will be comparatively less difficult. For the individual will not be seriously handicapped by an already firmly developed habit pattern.

On the other hand, with respect to the older and more experienced employee the needed adjustment will be much greater and as a consequence the individual may experience more difficulty in making the necessary adjustment. For he not only has to learn the new system but he has to be able to subordinate the practices and customs he was accustomed to before. The process is further complicated, in the case of the more experienced employee, by two very definite influences. First, the natural resistance to change on the part of the newcomer. And second, the tendency of the new boss to resent any reference by the new employee as to how things were done in the outfit he worked with before.

The manager should recognize that these represent very real considerations exerting definite influences with respect to the training job to be done.





For the more experienced the new employee is, entering a radically different work situation, the greater the adjustments that are necessitated.

It seems to be well worth repeating that a thorough job of training may, and at times does, produce results that are clearly undesirable. Every management officer should realize this fact and keep it in mind continuously. For once an employee is thoroughly but improperly trained the "corrective" training that is required is much more difficult than it would be in the case of an individual who is "untrained." Accordingly, it is important that all organizational operations be under continuous and close scrutiny, by the responsible managers, to apprehend at the outset any trend to move in the wrong direction. Just like anything else, the training problems are much more responsive to treatment when that treatment is administered in the early stages. The manager is doing this important phase of his job properly when he does his best to make certain that the subordinate is properly trained in the first place. For in this way the desired habit patterns are developed and, thus the time-consuming and frustrating process of undoing something that is less than acceptable is avoided.

#### Develop For Bigger Jobs

In an efficiently managed organization the training of employees for future as well as present assignments will represent an important responsibility of each manager. There is every justification for an active policy of the character to be ever present. For a sound well-administered "promotion from within" policy is essential to efficient operation. The practice contributes greatly in management's efforts to maintain a loyal operating force. By this means, many individuals will be able to establish





realistic career goals and go further toward attaining them. For the individual employee and superior management officers have cooperated in identifying the employees' objectives and have agreed upon a course of action designed to result in the step by step achievement of that objective.

Also, under a well-administered "career" policy, individual capacities are identified and proficiencies are developed and more fully utilized with very obvious benefits to both the person and the organization.

The reasons which make it logical, which justify management's full efforts toward the development of the individual for increasingly responsible assignments are numerous. Many individuals tend to go stale if character and level of their work remains virtually static. In this respect individuals are not unlike many other less animate facilities. They tend to deteriorate more rapidly through non-use, when operating below capacity. In order to develop, to grow, people need to be extended, their work must continue to represent a challenge to them. One of the always present hazards is that many individuals are inclined to "outgrow" their jobs. And when they do the situation presents some real dangers. For every competent person needs, among other things, the opportunity to enjoy a sense of accomplishment. A condition that is often referred to as "job satisfaction." And when they are deprived of that opportunity they will look for other means of satisfying this need. If that requirement is not met by the current job, or by the obvious presence of full opportunity for advancement, the individual may conclude that he must take steps to satisfy this requirement elsewhere. He may look for another job. Or he may develop outside interests to supply that which is lacking. In any event, when this situation develops and the organization makes no positive



effort to correct it the job, the individual, and the organization are bound to be adversely affected.

All of these factors are important ones in the training and the development of the individual employee. They are factors which the manager needs to recognize and needs to accord full consideration in his efforts to redeem this all important responsibility. The responsibility of providing for the proper training and development of each member of his subordinate staff.

Too frequently, true "career programs" are non-existent or are not fully effective because management has never gotten around to do anything about it. This lack of action, on the part of management, may well be due to several considerations. But it is probable that the basic cause of the situation is the absence of full realization of the benefits to be derived. And that lack of realization is due, in all probability, to failure to recognize that the primary responsibility of each manager is to utilize fully his subordinate staff, a condition which can be brought into being only through the proper development of each individual member. Such a policy as the one we are talking about, efficiently administered, should be looked upon as a requirement by top management. And it will be present when fully competent people occupy the organization's top management jobs.

#### WHERE THE TRAINING RESPONSIBILITY RESTS

The responsibility for the proper training and development of each employee rests in the line organization. Of course, the bulk of such responsibility is inherent in the job of the immediate superior. With the exception of the highest ranking administrative official, the immediate superior will not have complete control with respect to the policies or the





practices that are applicable. But he does have the first responsibility, and should have whatever authority is required to redeem that responsibility, to bring about the consummation of the things that are necessary and desirable, within the limits of organizational policy, to properly train and develop each subordinate. The superior will necessarily negotiate with other appropriate members of the organization to arrange for special assignments, reassignments, transfers, and the like to the degree required to accomplish the needed result. The immediate superior does not make all these arrangements himself for he does not normally have all of the authority that is necessary to take such actions as these. But he does have the responsibility for getting done those things which fall within the limits of his authority, and for initiating action with respect to those other things which extend beyond his authority.

In most of the larger organizations it is customary to have a staff unit which is primarily concerned with employee training and development. Under this arrangement the conventional hazards, with respect to the differentiation of the responsibilities and of the activities of the line and of the staff are present. When certain line officers are less than fully competent they may be able to arrange, by one means or another, for the staff to accept a substantial part of the responsibility for training and developing certain line employees. Sometimes the line will insist upon the staff assuming this responsibility. And sometimes the staff will willingly agree to accept it. And when the essential relationship is not clear or the staff is particularly aggressive, the staff may actually seek this responsibility. It is evident then, that with respect to this function as well as all others, virtually continuous administrative control, of very positive character is required to maintain the kind of line-staff





relationship that is so vitally necessary to efficient operations.

The Staff Helps But The Line Is Responsible

Whenever the staff assumes any substantial part of the responsibility that is properly that of the line undesirable results are not just probable, they are certain. Of course, it is impossible for the line actually to turn over to the staff any appreciable part of the responsibility for training and it is equally impossible for the staff to accept any substantial amount of this responsibility. For the great majority of the training an employee receives occurs during routine day-to-day association with his work, his supervisor, and his associates. Obviously, staff personnel are not present in sufficient numbers to spend any appreciable amount of time with any one employee or any group of employees. And it is most fortunate that this is the case. The staff cannot, for very apparent reasons, furnish direct supervision to line people day in and day out. Of course, that is exactly the way it should be. For if the staff was given the line's responsibility for personnel development the staff would, in effect, become the line. But the fact that the line is willing to give up, and the staff to accept, this very important line function is, of itself, not the item of first concern. The basic conditions which cause these attitudes to exist are of first concern and represent the area requiring the attention of the responsible administrative officer. For when the line is willing to give up this function the only logical conclusion that may follow is that these line people do not comprehend fully their true place in the total enterprise.

It is not unusual to observe that certain line officers, supervisors, administrators, managers, are not only sometimes willing but apparently anxious to have staff officers in the "personnel" unit take over the responsibility for training people in the line organization. Why is it that



this condition exists? It would seem to represent rather conclusive proof that these line officers do not recognize the full responsibilities inherent in their respective jobs. Apparently, they fail to realize that the most important part of their work is to develop their people. To remove that function from their jobs is, in effect, the taking of a substantial part of their jobs away from them. Of course, it is not unlikely that some of the line people in this category would challenge the accuracy of this statement. They probably would contend they would still be overloaded doing other things. When they make such a statement they are revealing the real reason why they entertain such a viewpoint. For the "other things" to which they refer often are activities that should, for the most part, be performed by their subordinates. And the fact that they, the managers, are devoting much of their time to something other than subordinate development raises very serious question as to the competency of management at that level and in the levels above.

#### "Too Busy To Train ?

On occasion, or perhaps even more frequently than that, we hear the statement made by a line officer that he is too busy to spend any amount of time training his people. It would seem to be very clear that this statement is incorrect, is indefensible on two counts. First, what this individual is saying is, in effect that he is too busy to do his job. For his first job is to train and develop his people. The only possible way any manager can accomplish the mission assigned to him is through the individual accomplishments of the people over whom he has jurisdiction. It would be just as logical, or rather as illogical, for a file clerk to say that she was too busy to file. Or a bookkeeper to say that he was too busy to keep books. Is it difficult to visualize how long the file clerk and



that she was too busy to life. A bookkeeper to him that he was

the bookkeeper would get away with this sort of an attitude? Is there any greater justification for permitting a manager to think that he is too busy to develop his subordinates and to proceed to prove that point by his actions

Secondly, the "too busy" manager is wrong because he is training his people even while he thinks he's too busy to do it. Perhaps he doesn't realize that he is training them. But he is and there is nothing he can do to avoid it. We would be inclined to be somewhat skeptical as to the acceptability of the training he is providing. There is the strong possibility, of course, that in some respects it is improper, or is inadequate or is not the right kind. But his people are working, are doing something. And the fact that they are doing something, the fact that they are doing it at a certain time, in a certain way, represents incontestable proof that they have been trained to do what they do, in the way they do it and when they do it.

#### Keep The Job In The Line

It is well that we never lose sight of the fact that the line officer is responsible for the training of his subordinates. It goes without saying then, that the staff is not responsible for training employees in the line organization. It is the responsibility of the staff however, to help the line meet its training responsibilities. The relationship of the staff to the line in the area of training is no different than it is in any other field. The function of the staff is to facilitate, to assist, to aid the line in the accomplishment of line functions. And there is a considerable measure of difference between the responsibility for doing something and the responsibility for helping to do that something. When that real difference is recognized and such recognition is evidenced by action, the beneficial consequences will be readily apparent.





Of course, in carrying out its facilitating function, the staff sometimes actually does some specialized training of line people. This is the way it should be if the best results, both at present and at long range, may be accomplished in this manner. But the staff, by reason of the fact that it actually does certain of the training, does not take anything away from the line. In such a situation the relationship that exists between the line and the staff should be essentially the same as it would be if a group of outside consultants was employed to do the same job. The only difference is that the staff people happen to be on the regular payroll.

When the staff undertakes to actually do some of the training for the line there is immediately created a danger area of which both sides need to be fully aware, and particularly the official who is administratively superior to those individuals, both line and staff, who are involved in the operation. In the first place, the practice may tend to become a habit with the result that the line continues to look, more and more, to the staff for the doing of the line work. There will be a tendency too, for the line people receiving the training to look to the staff for this same kind of help in the future. When either of these two conditions exists to any substantial degree, there will be created, beyond any question of doubt, a degree of separation between the line officer and his people. This close relationship between the boss and his subordinate is a vital necessity and should never be jeopardized by any set of circumstances over which the manager has control.

In the second place, when the staff is given the responsibility for the actual handling of a specific project or operation of this character, the remainder of the organization is receiving little if any benefit from those staff officers who are so engaged. Accordingly, in the interests of the



entire organization, both the staff and the line, the staff should, with but occasional exception, concern itself with broad areas, with basic policy and practice having overall application.

It would seem that this whole question can be summed up in a few brief statements. The line is responsible for the training of its people. The staff is responsible for helping the line do a good job. The line must be jealous of its prerogatives and must not relinquish them. The staff should give the line all possible assistance but should not accept the line's responsibilities.

#### HOW TRAINING NEEDS ARE DETERMINED

To carry on training "programs" merely for the sake of training itself has no place in any enterprise. Specific training efforts must always pay their way. The returns from such efforts must equal or exceed their cost. For when the value of the training benefit is less than the cost of the training operation the difference may be classed only as a loss.

Of course, it is usually not too difficult to determine fairly accurately the dollars and cents cost of a specific training operation. But a similar determination with respect to the benefits received is frequently not possible. Here the element of individual and group judgment enters into the picture in a big way.

#### Measuring The Benefits

Many training results are readily recognized as being beneficial but the degree of benefit defies precise measurement. The results may be clearly evident but of intangible character. Management's inability to convert these values to a statistical form appears to cause quite a few people a great deal of concern. Perhaps much more concern than is



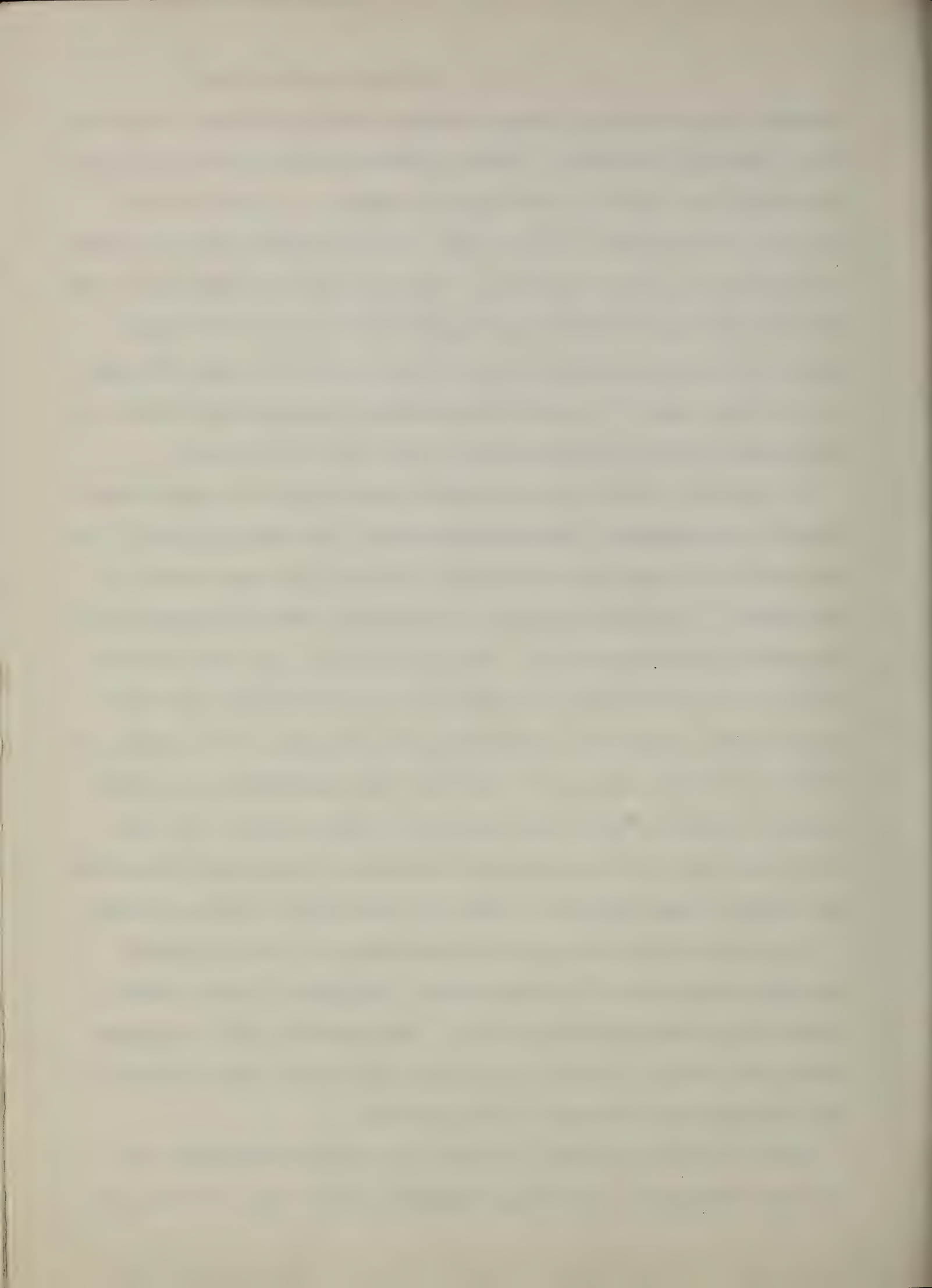
WILLIAM J. BROWN, JR.

justified. For we do many things throughout our lives because we know it's to our advantage to do them. Yet we are often unable to prove that many of these things are worth an exact number of dollars or so many units of pleasure or satisfaction. For example, we do not hesitate to spend several thousand dollars for an "education." Do we always know that it will be worth the investment and do we know how much it will be worth? We buy an automobile but do we always attempt to figure out if our return will equal or exceed the cost? We spend considerable for entertainment but are we always able to determine exactly what we get for what we spend?

We do know, however, that reasonable expenditures for many of these things are appropriate. And that unreasonable expenditures are not. The definite line between what is reasonable and what is not may seldom be discovered. We do not worry too much about just what that limit is and it is perhaps well that we do not. We usually do know, however, that this limit is somewhere between the obviously reasonable and the obviously unreasonable. And we try to avoid these two extremes. For example, we probably would all agree that it would be rather unfortunate for a great number of people to spend their entire lives going to school or for the individual in the lower income group to spend his earnings for the purchase and upkeep of four automobiles when one would meet his ordinary needs.

It is very much the same situation with respect to the specialized training of the people in an organization. Management has the responsibility for making this determination. The members of the management force must decide through the application of their best judgment based on the appropriate consideration of adequate data.

But it is not in the specialized training area that management needs to concern itself most. The average employee receives the vast proportion





of his training from his boss and from his association with his work and his co-workers during the course of routine day-to-day activities. Then, it becomes apparent that the bulk of the training cost is reflected in the expenditures for maintaining the managerial force. It becomes equally apparent that the vast proportion of the benefits of such training is reflected in the accomplishment of the individual employee. The first item, that of the cost of management, may be measured with considerable accuracy. The value or acceptability of the second item, that of the production from individual effort, is subject to reasonably accurate measurement. For in this latter instance reasonably suitable standards, as the basis for comparison, may be established.

Our discussion would probably be incomplete if we did not recognize the differences existing between various types of organizations. Let us consider two rather general but extreme examples. Annually the military services devote millions of man months and spend billions of dollars on training alone. Generally, this is recognized as being an entirely appropriate practice for the operations are based on the best judgment of those who are best able to judge. In this respect, it is probable that most "civilian" organizations should stop far short of the military. But perhaps we will not be in substantial disagreement with the view that many civilian organizations should go much farther than they do.

#### The Difference Between The Actual And The Standard Equals The Need

The basic method for determining the training that is required, of determining the additional proficiencies necessary to meet current and potential needs, is virtually the same regardless of the nature of the enterprise. Simply stated, that method is this. It is the comparison of



the existing conditions with the established standard. The degree to which the actual departs from the standard represents the area of need. It is presumed, of course, that the standards which have been set are realistic. And that budgetary and other influencing factors were appropriately considered in the establishment of the standards.

The determination of the relationship between the actual condition and the established standard is accomplished by the manager through the application of effective control measures. Of course, the more formal types of controls involve systematic inspection, review, and audit. Such control operations are accomplished by means of on-the-ground observation, by reporting the findings of such observations to appropriate officials and by positive follow-up action on the part of those officials whose responsibilities are involved. But there is one more somewhat less formal method of determining training requirements that is perhaps more important than any of the others. And that is those determinations that are made in the course of routine operations by the superior in his day-to-day associations with his subordinates.

Let us consider just a few of these routine events which may represent clear-cut indications that an employee is in need of training. For example, a line official follows the practice of frequently disregarding the chain of command by by-passing intermediate administrative levels. It is evident that this individual needs assistance to enable him to understand the impropriety of the practice, in relation to the established standard, and to cause him to modify his practice to a sufficient degree to make it acceptable.





Or there develops the situation in which an alarming number of "problem" employees show up under one particular supervisor. That individual, the supervisor, needs help. He needs training which will qualify him to perform in such a way that many of these problems will not develop. And it is possible, as well, that he should be helped to understand how he should deal with cases of this kind when they do occur.

Then, let us consider the case of the "administrator," who violates "all the rules in the book." He needs lots of training in learning the rules in the book and how to apply them. Or if his mode of operation is so firmly established that to change him sufficiently would represent a major project, possibly the logical solution would be to give him an assignment that is outside of the administrative field.

Consider the case of the high level public official who is constantly antagonizing influential citizens in the community. And the typist who turns out unpresentable work. Or the situation in which one inspector reports that a work unit has an excellent safety program while another inspector says that safety conditions in that same unit are terrible.

Each of these situations, and others like them, points up the need for the training of someone somewhere in the organization. The determining of what training is needed and who needs it is not quite as easy a job as it might appear on the surface. The individual who needs help is not always, by any means, the principal in the case, the one whose acts call attention to the need. In many instances the underlying cause of the difficulty will be found in the operating methods of a higher administrative officer.

Consider the case of the two inspectors who disagreed on safety conditions in the same unit. It would appear probable that this condition would be

IN WHICH ARE CONTAINED THE

REMARKABLE PASSES OF HIS LIFE

AND THE CAUSES OF HIS DEATH

BY SAMUEL JOHNSON

IN TWO VOLUMES

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THE SECOND VOLUME

CONTAINING THE

REMARKABLE PASSES OF HIS LIFE

AND THE CAUSES OF HIS DEATH

BY SAMUEL JOHNSON

IN TWO VOLUMES

LONDON: Printed by J. B. 1704

THE SECOND VOLUME

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REMARKABLE PASSES OF HIS LIFE

AND THE CAUSES OF HIS DEATH

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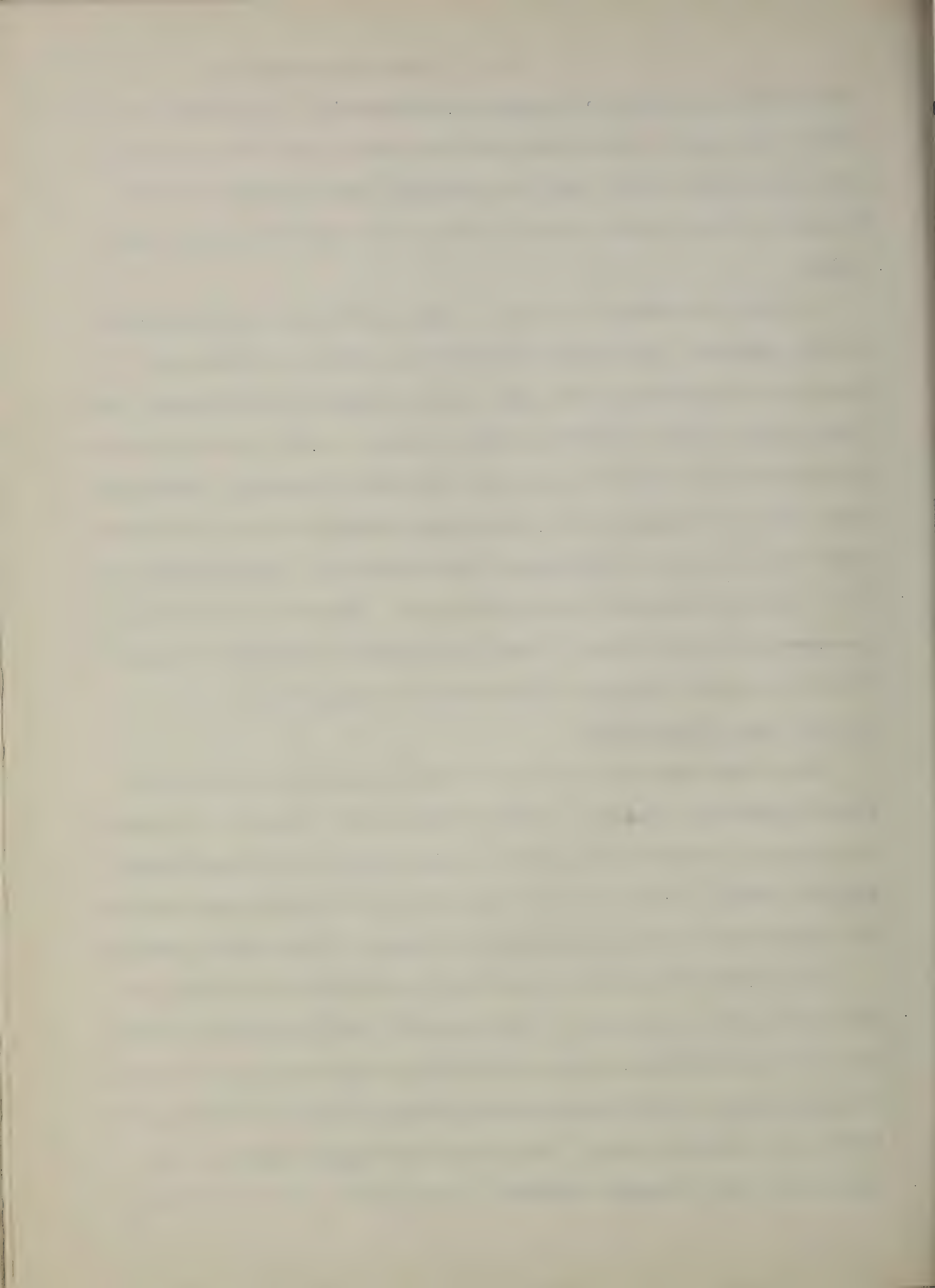
attributable to the absence of appropriate standards. Or possibly communications were poor. But whatever the basic cause, that cause needs to be determined and, with but very few exceptions, the necessary corrective measures will call for the training of one or more members of the organization.

It would be possible, of course, to go on and on and cite innumerable similar situations. Situations which point up problems, deficiencies. Those occupying administrative jobs should recognize that whenever a deficiency shows up, or a problem situation develops, such circumstances will almost invariably indicate the need for some kind of training. At the same time, those who manage should realize that training needs are determined in the normal course of carrying out the several major administrative functions, and particularly the function of control. When there is effective management there is seldom, if ever, any need for conducting formal surveys for the specific purpose of identifying the areas of need.

#### Too Far Above The Standard

We probably would be remiss if we failed to point out something of relative importance that may readily be overlooked. When we go through the process of comparing the actual with the standard in the course of inspection, audit, review, or routine supervision, we will find that the existing condition falls short of, approximately equals, or exceeds the standard.

It is the natural tendency to think that it is only the first of these conditions that calls for attention. This is hardly a valid viewpoint. A situation which substantially exceeds the established standard may be cause for as much concern as if the same condition failed to meet the standard, if it fell the same distance below. For greatly exceeding the standard may represent a less acceptable condition, a more costly one, than failing to



reach the standard. We cannot afford, obviously, to permit a practice which goes too far beyond the point of diminishing returns.

For example, consider the case of the unit head who usually rewrites. at least once, each memorandum prepared by subordinates for the signature of the unit head. According to the organizational standard the author's original letters are wholly acceptable. But the unit head disregards the official standard and he sets and applies a different one. One that management has previously determined to be inappropriate. It is clear that the situation is not an acceptable one, that a deficiency, a degree of inefficiency exists. The responsible individual needs attention and help, needs to understand the official standard and the necessity for him to accept and abide by it.

In another situation the established standard provides that purchase vouchers will be audited on a sampling basis, twenty percent of them subject to complete audit. Disregarding the official standard, the head of the audit unit instructs his auditors to examine completely fifty percent of all purchase vouchers. Here again an official is operating in a manner that is in conflict with the official policy. The change he has installed results in a substantial increase in auditing costs. The situation must be construed as an indication of a deficiency on the part of this individual. He is in need of training to revise his understanding, possibly to revise his attitude, and certainly to modify his mode of operation.

In these cases, and in other similar ones, the need for training is very obvious. And to correct the way these people are performing their functions, to change their methods so that they are in agreement with standard policy, may necessitate as much training, or possibly even more,





than would be necessary if the operations of these people departed from the standard in the other direction.

### HOW PEOPLE ARE TRAINED

It seems to be far from unusual, among managers and non-managers, for a rather restricted view to exist with respect to what constitutes the training process. The viewpoint that employees are being trained only when a training "program" is developed and carried on appears to be one that is quite prevalent. This is, that people receive training only when someone says "we are now going to train you," and then someone develops what is described as a "program" and someone then conducts the program. The elimination of this rather narrow view with respect to the whole area of training would appear to be one of the first orders of business. Perhaps there is no greater responsibility inherent in the position of every manager than that of developing subordinate staff members. Certainly, before this important responsibility, or any other one for that matter, can be acceptably redeemed, it is necessary that the individual having the responsibility possess a clear understanding as to its nature and extent.

We mentioned before, and readily admit that we are guilty of repetition, that training is going on all of the time and that no administrative official is capable of preventing his people from being subjected to continuous training. Let us more carefully analyze this view. Each of us is familiar with the training "programs" that are carried on in most every organization. We are aware that generally, such programs relate to a specific function or operating phase of a function, that certain people are selected to participate in the training program, and that the program begins at a specified time, continues for hours or days or months, and terminates at a definite time. We are aware also, that many

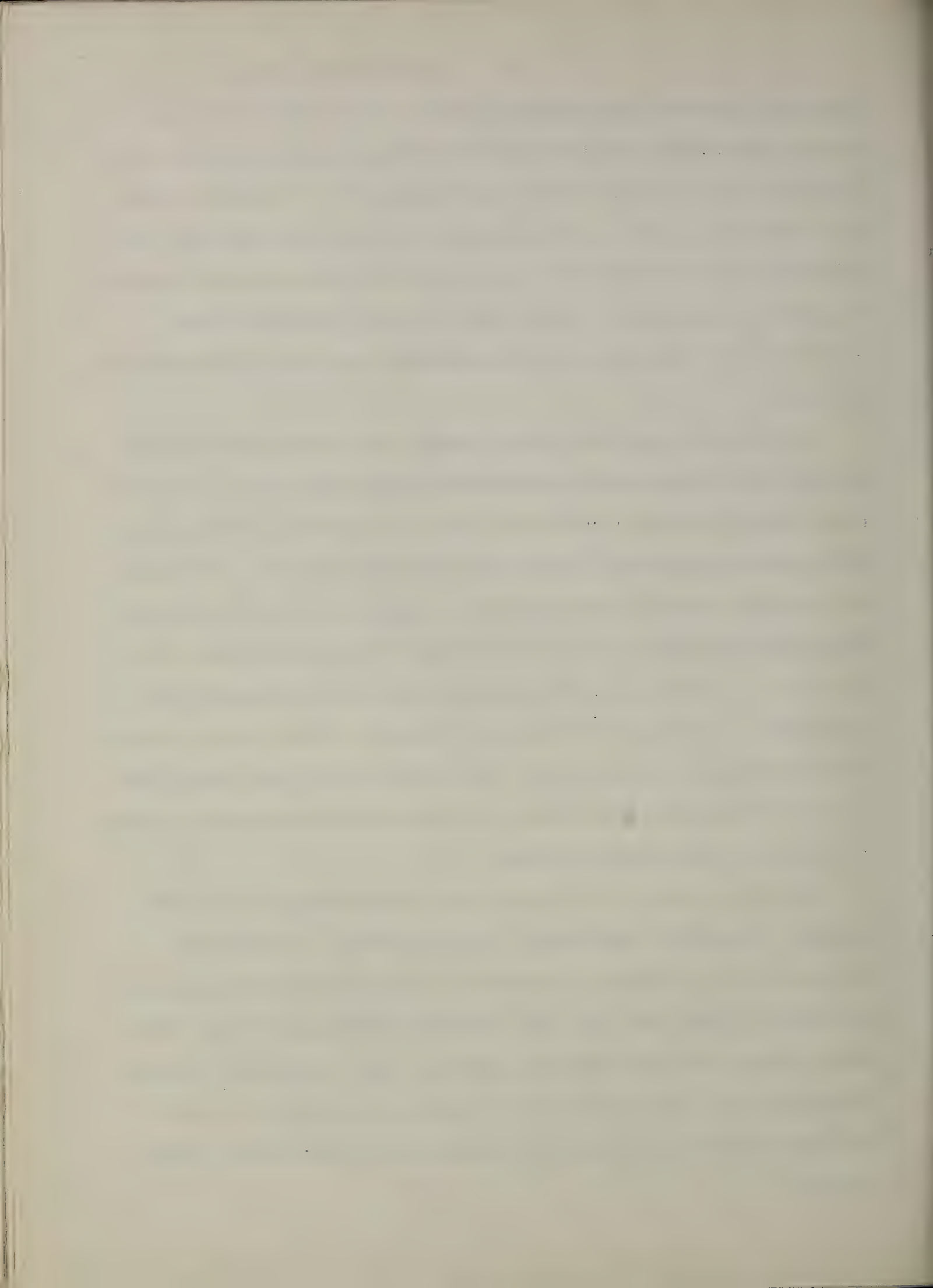




aspects of the jobs of many employees may never be dealt with in this manner, and that the proportion of the total time that any employee participates in this type of undertaking may be negligible. It would probably not be difficult to locate a substantial number of people in most any sizeable organization who have taken part in such training programs only once in a several year period. And it might not be too difficult to locate employees with a number of years service who have never participated in this way.

Nevertheless, even though these people have received but negligible training of this character they continue to perform their duties. And the great majority of them conduct their work in a way that is wholly acceptable, and in some instances demonstrate unusual efficiency. Certainly, no one would contend that these people are untrained. They have proved conclusively that they are trained for they perform their assignments in a certain way. The fact that their performance is rated outstanding, or acceptable, or not acceptable does not, of itself, indicate the completeness with which they have been trained. But these facts do prove, beyond any question of doubt, that the individual has been trained and that he operates as he does by virtue of that training.

The next question is, of course, how did the employee receive this training. The answer would seem to be very evident. The training received by the individual was imparted in conjunction with his day-to-day association with his boss, his work, and his working associates. When each manager recognizes this fact, and when such recognition is demonstrated by action, the desired level of competency on the part of each individual employee, including the manager, will be much more readily attained.



The Routine Practice Is The Most Important

The routine day-to-day mode of operation within the organization has more effect than anything else upon the way in which the members of that organization carry on their jobs. And the way things are done in the official organization, the operating practices that are followed, exert a substantial influence upon the individual employee with respect to the way he conducts himself both on and off the job. It is seldom that the employee will be one type of individual while at work and be something entirely different while he is away from the job. At least, most of us are not that versatile.

The way every manager operates, all of the time, sets the pattern for his subordinates to follow. If he prescribes one thing and does another, if he says "it is the policy of this organization to . . . ." and then proceeds to operate in contradiction to that policy, it is not difficult to visualize the resultant effects upon his subordinates. On the other hand, if the manager operates according to the intent and the spirit of the stated policy, then policies mean something and then, and only then, will the manager be properly training and developing his people.

A premise which we consider to be incontestable is that the day-to-day association of a manager with his people exerts the greatest influence upon the way in which these subordinates carry on their official functions. It is for that reason that the effectiveness with which employees are developed is primarily governed by the quality of routine operating practices, by the quality of the day-to-day direction that is received. And it is for the same reason that when this basically sound foundation is not established and maintained all efforts involving other "methods" of training will be relatively unproductive.





Inasmuch as his people are subjected to continuous training, in the course of carrying out their day-to-day activities, the manager needs to be guided by a fundamental basic pattern in everything that he does. He anticipates the difficulties, the problem situations, which may develop under existing or potential sets of circumstances. He determines the course of action most likely to be effective in the avoidance of those difficulties. He acts in accordance with the course of action decided upon. His efforts are directed toward causes, to remove or subordinate those that are undesirable in order to eliminate the need for dealing with the effects which might otherwise occur. He avoids being a "case worker," for he has delegated the incident or case features of the operation to subordinates. The measures taken by the manager are usually preventive in character. They are designed to prevent the occurrence, and the recurrence, of the undesirable. Designed to produce the occurrence, and the recurrence of the desirable. When the manager operates in this way the chances are excellent that he is doing a good job of training his subordinates properly, for he is setting the right example for them to follow.

There are, of course, a number of conventional, and probably more obvious, ways in which people are trained. We might look upon them as "subsidiary" methods as each is suitable only under specific sets of circumstances. But as each one of them does serve a definite purpose, several will be discussed sufficiently to identify the place they occupy in the total training area.

#### Cn The Job

Cn-the-job training is one of the "methods" which receives a great deal of attention, is talked about considerably. Actually, this is the type of training that we have just finished discussing. For it is very evident





that the associations of the individual employee with his boss, with his work, and with his other official associates occur in the work situation, on the job.

However, the generally accepted concept of on-the-job training seems to be much more limited in scope. It is often thought of as having application only to a specific task or job, to a comparatively small part or phase of the overall function of the individual. Just why this one approach to the complete training operation gets all of the attention that it does seems rather difficult to understand. And why it is usually considered as applying only to the specific task at hand raises further question. For on-the-job training is an inseparable part of the supervision process. It is impossible to supervise a subordinate without training him. And that is true regardless of the quality of supervision that is provided.

To have a condition in which no on-the-job training was taking place would simply mean the assignment of an employee to a job and then proceeding to forget about him, to give him no supervision. The total absence of on-the-job training would mean, of course, that all training would be received away from the job. The impropriety of any such way of operating is so obvious that the devoting of any further time to its discussion at this point is clearly unwarranted.

The important thing to remember is that on-the-job training is occurring constantly and there is no way to prevent it. It would seem apparent that much benefit would result if full realization of this fact was created on the part of each manager. And in order to do this it is necessary to dispel the view that on-the-job training is taking place only when someone decides to initiate an operation designed to increase the proficiency of one or more subordinates with relation to certain



specific aspects of their jobs.

The presence or absence of the work "training" in the title assigned to the operation or in the instructional material utilized in connection with it has no bearing upon the character of the practice that is followed or upon the results achieved. The importance of clarifying this particular concept appears so great that further explanation by means of specific illustration is considered justified. Instructional and informational manuals, handbooks, and the like are positive training media. The presence or absence of the word "training" in their titles or in their contents has no bearing upon the potency of the training influence imparted during their utilization. Staff meetings, group conferences, and other similar assemblies of employee groups are as definite training activities as they would be if they were referred to as training programs. The same thing applies to routine supervisory contacts and inspections. As a matter of fact, it is considered entirely safe to say, as a general rule, that the training employees receive through specific training operations, labeled as such, is negligible in comparison with that received through other activities in which the obvious training connotation is absent.

#### Formal "Programs"

Formalized group training "programs" where a number of employees are assembled once or several times at periodic intervals serve a worthwhile purpose when justified by the need and when well organized and administered. However, activities of this nature usually represent a minor part of the total training operation. The practice is justified when appropriate authority logically arrives at the conclusion that this method is the most favorable one. However, group training is justified only when it is more economical or more effective, or both, than individual training.





There are, of course, certain sets of circumstances which justify this approach and others which do not. In deciding on the proper course of action the decision should be preceded by appropriate consideration of the advantages and disadvantages. Frequently, the advantages are many.

The formal group training method is often a very effective means of coordinating individual and unit operations. It provides the opportunity to "pool" knowledge, information, and experience. It gives each individual the opportunity to participate in the specific undertaking. And it provides a satisfactory way of providing reasonable assurance that a uniform understanding exists.

There are, of course, a number of dangers which need to be recognized and avoided. The "leader" must be well qualified. Objectives must be definite and clear and the relationship of those objectives to the interests and responsibilities, both present and potential, of the participating members must be clearly evident to them. It is rather customary for such activities to be organized and conducted by staff specialists, with the "trainees" occupying line positions. There is a real hazard that is always present in this type of arrangement. All who are involved need to understand that the "program" does not serve to influence, in any way, their normal official relationships. The staff officer who is heading up the training effort is merely assisting the responsible line officers in discharging one phase of their responsibility, a responsibility that is not relinquished by the line. Of course, during the period that the program is underway the staff officer serving as program leader may exercise some line direction over the participants. However, it should be understood by everyone that such a relationship exists only for the duration of the program. And that such a relationship is terminated completely when the





program is over and participants return to their regular assignments.

### The Right Raw Material

It should be readily apparent that in order to get satisfactory results the people who receive training must possess the necessary basic qualifications. This word of caution might first appear to be unnecessary. Experience indicates, however, that some mighty unfortunate situations have developed because of attempts to develop people to a point beyond the limits of their current capacities.

For example, no concentrated short term training program in administration will produce a competent administrator out of an individual with little or negligible managerial experience and with background only in a limited number of other highly specialized functions. Or similar results may be expected if the individual is not interested in becoming a competent manager. And the same result is probable if he possesses deeply ingrained personality characteristics which are in conflict with those recognized as being necessary attributes for successful performance in the managerial environment. We mention this important consideration specifically with reference to the field of administration for the primary reason that it appears that this particular hazard is greatest in this area. In most every other profession, every other specialty, there is general awareness that the development of individual proficiency needs to follow a rather definite basic pattern. But in efforts to develop managers this pattern seems to be frequently overlooked. There appears to be a strong inclination to believe that experience in one or several unrelated specialties goes a long way toward qualifying the individual for the assumption of responsible administrative duties. And, in addition, that managerial competence is something that may be acquired in a very short space of time and with



but negligible developmental effort. Certainly, experience and logic do not support the validity of such views.

In manager development the individual needs to acquire certain elementary knowledge. It is necessary to recognize that experience and demonstrated competency in foreign areas are not of substantial significance in evaluating the current qualifications level with respect to the field of administration. And that such other virtues, regardless of how significant or laudable they may be, may not serve to shorten the development process or to justify departure from the essential pattern to be followed in that process. In brief, the individual to be trained, to be developed, needs to consist of the kind of raw material that may reasonably be expected to develop into an acceptable finished product. And the kind and level of training provided throughout the developmental process needs to be appropriate for, to be commensurate with, the stage of progress of the individual at any one time.

#### THE KINDS OF TRAINING

It is rather difficult to differentiate, with any degree of positiveness, between some of the kinds of training it is essential to carry on in the normal work situation. Most of the activities of the average employee are somewhat interdependent, and are to some degree related to other functions, thus making it difficult to draw a clear-cut dividing line between each of the elements involved. Generally speaking, to concentrate the training effort on one specific area with complete disregard for all others is a practice to be avoided. Of course, there are certain quite readily definable areas in the "skills" category. Certain definite relatively independent operations that the skilled worker needs to be capable of performing. But even there a machine operator, for example,





needs to be able to do more than just run a machine if he is to be a fully competent and otherwise desirable employee.

Identify The Deficiencies To Be Overcome

In our consideration of the kinds or areas of training we might do well to give our attention to just two broad categories, job skills and management skills. Of course, we could readily go much farther and identify many individual kinds of jobs, or segments of jobs, but it is doubtful that this would serve any worth while purpose in this discussion.

The important thing in determining what training the individual needs and will be given is to identify clearly the specific deficiencies to be overcome by the training to be provided. Possibly the individual needs to be improved in typing, in composing correspondence, in writing reports, in meeting the public or in dealing with his co-workers. Or possibly he needs help in order that he may do a better job of planning his work, of interpreting and carrying out instructions, of applying the procedures applicable to his particular job, of expressing himself verbally, of budgeting the funds available to him. If he is a manager he may need assistance to more promptly and positively face up to the issues confronting him, to do a more effective job of directing his subordinates, of coordinating their operations, or of controlling the activities for which he is responsible.

When it has been determined through inspection or any other means, that these or other similar deficiencies are present that fact represents conclusive evidence that the mode of operation of the individual needs to be modified in the right direction. And that the providing of the necessary training is the solution to the problem when it is reasonable to think that the individual is capable of responding acceptably to that





training. But it is important that there has been positive determination with respect to the existence of real need for some form of improvement. And in making this determination it cannot be presumed that one employee is deficient in one or several respects just because others engaged in similar work have evidenced such deficiencies. To set about deliberately to train an individual or group of employees just because someone arrived at the unsupported conclusion that some kind of training, specifically labelled as such, should be carried on is, of itself, a management deficiency. A deficiency which is a positive indication of the need for training on the part of that member of the management force who was responsible for arriving at such a conclusion.

#### Enough Time For The Job To Be Done

Certain training needs are met by administering single doses and others by multiple treatment. The amount of training that can be absorbed by an individual or a group of individuals at any one time, or over a given period of time is dependent upon numerous factors. Particularly the complexity of the subject and the qualifications of the subjects.

Under some conditions, the training operation may encompass a number or all of the aspects of one or more assignments. Normally, this calls for a long-range operation and not infrequently the training period extends over a substantial period of time, possibly a period of several years. Then, of course, we are engaged in the process that is often referred to as "career development." Which is nothing more than long-range training that is designed to develop the individual for the satisfactory performance of his current assignments and for future ones as determined by individual capacity and organizational limitations.



It has been the fashion, for the past few years, to give a great deal of consideration to a training operation that is generally referred to as "executive" development. The character of such "programs" is about as variable as the viewpoints of the people responsible for their inauguration. And this same degree of absence of uniformity probably prevails with respect to existing views as to what constitutes an executive as well as with respect to the ultimate objective, the kind of end product to be produced by means of such activity.

We presume that the recipients of this treatment, the present or potential executives, are those people who occupy or are scheduled to occupy fairly high level administrative jobs. And we presume too, that the "executive development" process has as its basic purpose the acquiring of certain qualifications by individuals so that they may perform the duties of their respective administrative assignments at a high level of efficiency.

The process of "developing" executives is not a limited short term operation. By reason of its very nature, by reason of the magnitude of the job to be done, the process must extend over a very substantial period of time. And, in the process, a great many "methods" must be employed. It is equally imperative, as well, that the candidates be selected, and inducted into the process, very early in their careers. The job is much more difficult, and there is much less assurance of success, if the process is started late. For then, the size of the operation is much greater and the time to accomplish it may be correspondingly increased. There is then the time consuming and difficult necessity for revising deeply ingrained attitudes and habit patterns which are often in material conflict with those which need to be present with respect to the





fully competent manager.

### WHY MANAGEMENT TRAINING IS SO ESSENTIAL

The great majority of the problems which develop in most organizations are caused by sub-standard administration or, in extreme cases, by a condition which may be classed only as maladministration. This fact alone, that the success of the enterprise is directly dependent upon the quality of its administration, clearly justified continuous training in the field of management that is both intensive and extensive. The training and development of managers is the function of management. The responsibility of every manager other than the first line supervisor, is to develop other managers. And this same responsibility is present to some degree at the first administrative level. To disregard this responsibility or to deal with it only in a perfunctory manner is the surest way to avoid solution of the problem. Actually, it represents a positive method of perpetuating the many problems and deficiencies which exist because of the absence of a fully qualified management force.

### A Shoragage Of Talent ?

It is highly probable that the statement that management "talent" is alleged to be in short supply would hardly subject the proponent of the idea to just criticism. Actually, it is very doubtful that this statement may be substantiated, that a shortage of management talent has ever been proved. Certainly, little has been done to determine just how much talent there is. And it is considered to be true that there is no real evidence, at least on the surface, to indicate whether the supply is less, is equal to, or is greater than the requirement. The apparent inadequacy of capable managers is probably due to a combination of three conditions, (1) inadequate preparation, (2) poor selection, and (3) failure to utilize





existing talent.

Administration is a science, and it is an art. In other scientific fields many people have become eminently well qualified through education and experience. In the arts many have attained comparable heights. The means of such accomplishments, with but few exceptions, have been essentially the same. Briefly, formal education followed by application of that knowledge and augmented by creativity and ingenuity.

As a consequence there does not seem to be the same alleged shortage of other scientists, of other artists. Of "great" scientists and "great" artists, yes. But we are not concerned about nor do we need all "greats." There are a few great scientists and a few great artists, relatively speaking, of course, and there is no reason to believe, or to expect that there ever will be more than a few great managers. We are concerned about well qualified managers in sufficient numbers to meet our needs.

There would seem to be no basis whatever for believing that managers in relatively adequate numbers cannot become qualified, fully and acceptably qualified, in the same way that other specialists are developed. And there would seem to be no logical basis for believing that managers can be developed without comparable preparation through education, training, and experience. Yet there appears to be a strong tendency to blithely ignore so well established fundamental concepts when it comes to creating qualified managers. And, consequently, we are inclined to proceed to substantiate this erroneous contention by the application of methods which are, in some respects, not dissimilar to certain aspects inherent in the process of legerdemain.

The first part of the paper is devoted to a general discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The second part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The third part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The fourth part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The fifth part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The sixth part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The seventh part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The eighth part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The ninth part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe. The tenth part of the paper is devoted to a detailed discussion of the problem. It is shown that the problem is of great importance in the theory of the structure of the universe.

Are Selection Methods Logical?

It has been and to some degree still is, the rather prevalent practice to assign to administrative positions individuals who are trained and experienced in other sciences. Is there any sound basis for the belief that an individual educated and experienced in one field is, by virtue of that education and experience, qualified to perform effectively in an unrelated field? Do education and experience in the field of medicine qualify an individual to perform acceptably in the field of agronomy? Is it reasonable to expect that a competent automobile mechanic would be similarly qualified as a stone mason? Would an experienced mathematics instructor ordinarily be a suitable selection for assignment to the job of metalurgist?

These questions may be considered as absurd. No doubt they are. But their absurdity is no greater than the practices that are sometimes followed in placing people in management jobs.

There is another part of this whole process of manager selection which contributes in no small way to the seriousness of the problem. Let us consider any one of the scientists, the technologists, or artisans that were just mentioned. No one of them would hardly be considered as being capable of high level performance in his specialty until after he had demonstrated certain degrees of competence in several levels of increasing complexity and importance. A member of the legal profession would hardly be considered capable of occupying a place on the Supreme Court bench until he had repeatedly proved his competence and in so doing had acquired a vast fund of diversified experience. A doctor of medicine serves an extensive intern period and accumulates experience by assisting experienced members of the profession before he takes on a great





deal of individual responsibility. There are innumerable other areas we are all familiar with in which the need for both extensive formal education and practical experience is recognized as essential before the individual is qualified to assume responsibilities of major proportions.

Yet it is not particularly unusual to place in important administrative jobs people whose educational and experience qualifications for those jobs are practically nil. It is not particularly unusual to assign to relatively important administrative positions individuals who are relatively no better qualified than the medical intern or the attorney whose qualifications are all wrapped up in one college diploma. At least they do have the necessary preliminary education. In contrast, some who are the recipients of the title of "manager" have virtually no qualifying "education" and frequently possess managerial experience of very limited scope. Some of them may never have really supervised. Possibly they have been called supervisors but they may have spent most of their time doing something entirely different.

#### The "Short-Cut" Fallacy

It would seem to be readily apparent that there is no valid reason for believing that managers need less education, less experience, or less background preparation than the people in the other professions. And, as is true in the other professions, there is no short-cut to the acquiring of these qualifications. It follows then, that there is no short-cut to managerial development. When this fact is recognized, and is accepted, and that acceptance is evidenced by action, it may be possible to create the general condition whereby the existing supply of managerial competence equals or overbalances the contemporary reverse situation.





At this point it would appear to be evident that there are four major developments essential to the attainment of any substantial degree of success in our effort to solve this problem. First, there must be recognition and acceptance of the fact that management is a truly complex science. Second, the basic requirements for the creation of administrative competence must be clearly determined and fully developed. Third, there must be adequate provision for meeting those requirements. And fourth, the action that is necessary to insure the meeting of these requirements must be the rule from which there is no substantial departure.

#### HOW TO DEVELOP MANAGERS

Our discussion to this point leads us to the action phase of the solution to this problem, to the question of what should be done to produce qualified managers in the numbers required. As is true of any other undertaking, the acceptability of results of such efforts will depend upon how effectively the manager development job is managed. And the approach to finding a solution to the problem calls for nothing that is unusual, nothing that is unconventional. We need to identify the job for what it is, set realistic objectives, decide upon a plan of operation, a work plan, assign responsibilities for carrying out the provisions of the plan, proceed in the manner decided upon, and then apply sound management practices in the conduct of the entire process.

#### Manager Development Is Management's Job

First, the issue must be faced squarely and realistically. We cannot assume that a large number of "natural born" managers will appear in the future, for they have not in the past. As the developing of managers is, for the most part, a function of management we must



expect then, that current management must do the job. The sometimes present concept that management must be "sold" on the need for, as well as the doing of, the things necessary to produce capable managers must be obliterated. Any members of "management" who have to be "sold" would appear to be managers in title only.

It appears that the first necessity is to bring about correction of this condition. This may be accomplished by appropriate modification of the viewpoints of those in the responsible management force who possess viewpoints which need changing. And if this is impossible, the logical alternative would seem to be to place in these positions individuals who are qualified to discharge this responsibility. For if correction is not brought about in this fundamental feature it would appear that there would be little hope for accomplishing anything really worth while.

#### It Takes Positive Action

Also, there is need for general recognition and acceptance of the obvious conclusion that managers will not be "made" if their making is left to chance. For it is seldom that anything worth while is ever accomplished by merely sitting around and hoping for it. It should hardly be necessary to point out that hoping alone will not produce good administrators. The effort, the action, must be planned for, planned for deliberately, completely, and realistically. And the plans that are decided upon have to be consummated or the consequences may well be the reverse of those originally contemplated. Manager development is by no means a short process. It takes a great deal of time and effort. And it is worth all of the time and effort it takes.





### It Is A Multiple Process

Just like any other profession or skill, the ability to manage cannot be acquired in any one way. The acquiring of information, of knowledge, is necessary but there is much more to it than that. There must exist an intimate acquaintance with, and full appreciation of, the basic principles of the science. This attribute is acquired through study. The basic principles of administration are those fundamentals which must be observed in order to produce specific results. They are the summations, the conclusions, the laws of action resulting from the experience of individuals who have thoroughly explored specific situations. These discoveries, these principles, represent valid determinations which the potential administrator must accept for he has no basis for rejection. Refusal to accept, or extreme skepticism toward well established management principles, especially during the initial period of development, is the mark of the true amateur. And the management of people is for professionals only.

Once these basic principles are comprehended thoroughly, there must be provided full opportunity for their application. Knowledge of them alone is of no particular value. There must be acquired the ability to apply. The individual must become thoroughly experienced in the application of this knowledge. Acquiring that ability through experience, through repeated association with actual situations. No person ever became a skillful automobile driver by reading or by being told how to start, how to steer and how to stop. No one can become a skillful manager without doing, not once, but repeatedly, the many things the ultimate job requires. Too, like the automobile driver he does not learn how to do everything at once. He progresses from one step to another. He learns through trial which may,





at times, be accompanied by error.

Naturally, it is very evident that the greater the responsibility and the authority inherent in the administrative assignment the better qualified the incumbent has to be in order to meet those requirements. He has to possess more knowledge, more ability, and more of the right kind of experience. Obviously, this all takes considerable time and no little effort.

Obviously, the plan for developing potential managers must be put into effect and carried through to conclusion. A paper plan or program is necessary, but an action plan is essential. It sometimes appears that the mere development and recording of a program for so-called executive development is considered as positive evidence that something worth while is being done.

### Start Early

In management's efforts to produce a sufficient number of fully qualified people for supervisory and administrative jobs, at the several levels, it is important for management to get started early. That is true for more than one reason. The process takes considerable time. It cannot be rushed. This alone would appear to be ample justification for the early selection of the individuals and for getting them started early in their work experience.

But there is another reason that is equally important. The longer an individual works the more firmly ingrained his work habits become. Until such time as there is substantial improvement in management in general, many workers will continue to be associated, day after day, with some administrative practices that are clearly unacceptable. These people



cannot help being influenced by their association with these practices. If this goes on for any length of time undesirable attitudes and habits will most certainly develop. And when this happens the "development" job in the right direction is bigger and is more difficult. An integral part of management's overall job is to identify and remove deterring influences such as this one. It is often as big a job to remove undesirable practices as it is to install the desirable ones. There would appear to be one effective answer to this phase of the problem. To start early, the earlier the better, on the development of potential managers.

#### It Is A Never-Ending Job

In the development of managers, of supervisors, and administrators, the process is a continuing one. It is not something that can be turned on for a few hours, or a few days, or a few months, then turned off for a while and later started up again. People are always being trained, are being developed, in one direction or another, while they are doing their jobs. In the absence of the proper management climate their training may not be good but it is always present, nevertheless, and our primary concern is to see that the ever-present training is of desirable character.

Following this same basic concept, management should recognize that some manager development influences are always present and there are others that may be present. The one major influence that exerts the greatest effect, and this is one that is never absent, is the day-to-day association of the individual with his superior and other officials. If these influences are not entirely appropriate the other planned "activities" may pay off but in any event they are certain to be less effective than they otherwise would be.





Every manager development plan should make definite provision for progressive well-timed assignments up through the various administrative levels. Such planned progressive assignments should start with the lowest level of supervision and should end where appropriate, as determined by the individual competence level attainable and by the limitations of organizational opportunity.

#### Relationship To The Current Job

As a very high percentage of management "trainees" possess less than the required formal education for this line of work it is usually necessary to provide for considerable "formal training." This will include, among other things, individual study and group participation. There must always be the closest relationship, the closest similarity, between each element present in the formal training operation and the regular operating practices with which the trainees are associated.

Deliberate work assignments having the primary purpose of adding to the experience of the individual is a practice which should be the standard rule. Of course, such assignments need to be designed and carried out in such a way that the purpose is achieved. To illustrate by one example, an understudy assignment with a less than competent manager would most certainly produce negative results, possibly to an alarming degree. We might say that a competent over study is required to develop a competent understudy.

#### Everyone Benefits

Any logical, well-planned, and well executed manager development effort will be beneficial to the organization and to each participating individual. The fact that all who take part do not attain the goals originally set for them is no particular cause for alarm. The fact that





a sincere effort was made is, in itself, a laudable achievement.

THE SUCCESS OF OTHERS IS THE  
TRUE TEST OF MANAGERIAL ABILITY

In the process of manager development the competency level of the current management force will have considerable bearing upon the competency level of those receiving manager training. But the level of the current force should not serve to restrict, or be used as a measuring stick for the ultimate capability achievements of management trainees. For to impose such a restriction would, of itself, represent a management deficiency.

The administrator who recognizes that he has no greater responsibility than that of the full development of his people, and who redeems that responsibility to the best of his ability, may rest fully assured that he has achieved a real measure of success. There is no greater mark of managerial proficiency, and no greater sense of accomplishment available to the manager, than the successes enjoyed by the people who at one time worked for him.



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PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 9 - TRAINING AND DEVELOPING THE EMPLOYEE

WORK ASSIGNMENT

- A. Explain your views as to what is meant by employee training.
- B. In order to accomplish any operation, with a reasonable degree of success, it is necessary that responsibilities be clearly fixed and understood. The same is true with respect to the training and development of the individual employee. Explain where you think that responsibility rests in any organization.
- C. It is not particularly unusual for an individual occupying a managerial position to state that he is too busy to be very much concerned about the training and development of his subordinates. Explain your reaction to the individual who expresses this view.
- D. Describe the process that you consider to be most logical in determining the training needs of the members of an organizational unit.
- E. In your opinion what is the primary basic function of every manager? Briefly explain.
- F. The view is frequently expressed that, generally speaking, management talent is in short supply. Do you agree with that view? Briefly explain your viewpoint.





- G. Do you think that, generally speaking, existing managerial ability is being fully utilized? Briefly substantiate your opinion.
- H. Give at least three reasons why individuals who are not fully qualified may be assigned to management jobs.
- I. Describe the basic steps you would follow in the process of selecting individuals for manager assignments.
- J. Briefly describe the major steps in the process you would follow in the development of capable managers.





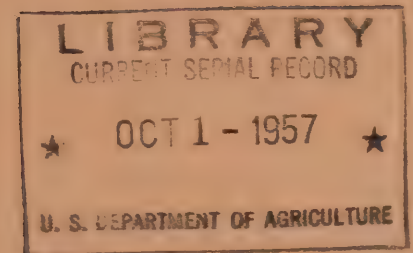




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CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 10  
DEVELOPING AND MAINTAINING COORDINATION

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WASHINGTON, D. C.  
1957





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IN

MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 10

DEVELOPING AND MAINTAINING COORDINATION

WASHINGTON, D. C.  
1957

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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 10 - DEVELOPING AND MAINTAINING COORDINATION

It probably would be proper to say that there are few administrative responsibilities of the individual manager that are more important than the effective coordination of the activities and the operations over which that individual has jurisdiction. It might be equally proper to express the view that the importance of this responsibility frequently is not fully recognized. In the absence of such recognition the results are certain. And a great many of the problems the manager will encounter may be attributed directly to the presence of a state of affairs that is not adequately coordinated.

As is true in many other instances the providing of a precise definition of coordination and stopping there would not prove to be particularly helpful to anyone whose official function includes the job of coordinating the efforts of a group engaged in a cooperative endeavor. This phase of the managerial function justifies much more detailed consideration than the mere stating of a brief definition. And it is this form of detailed consideration that our attention will be directed toward in this section. But such a definition might be of some help at this point. We might define coordination in this way, as being "the several processes designed to keep each party to a cooperative undertaking currently aware of his responsibility and authority in relation to the inter-related responsibility

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CHICAGO, ILLINOIS

TO THE HONORABLE THE CHANCELLOR OF THE UNIVERSITY OF CHICAGO  
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and authority of the others, augmented by the direction and control measures that are necessary to insure that the execution of the inter-dependent phases of the total operation are appropriately synchronized."

From this definition it would appear to be evident that any failure to coordinate operations effectively, anywhere along the line, is certain to produce results which are less than wholly acceptable in one respect or another. The primary purpose of coordination is not that of the application of remedial measures after the fact. Rather, coordinative effort is designed to prevent the undesirable from happening. Or, to express it another way, to cause desirable happenings to occur in the manner previously decided upon. It is the conscious and deliberate doing of the things that need doing, in the best judgment of those responsible, in an effort to cause the operations to be carried out in a manner that is wholly acceptable in all respects.

An acceptable state of coordination is something that will not just happen all by itself. It is an inherent part of the total managerial job. And virtually continuous attention is required if the execution phases are to take place smoothly and effectively. Every party to the effort must know what is expected of him and he must be prepared to do his job in the manner and when and where he is supposed to do it. The understanding of each participant, with respect to the relationship, the dependency, of his job to others and of other jobs to his, must be clear and complete. No major phase of the process may be left to chance. For that is the sort of situation that exists when the total coordination job is deficient: in some respect, and is ineffectual, is based on wishful thinking, on the hope that everything will turn out all right by itself.



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A TEAM - OR JUST A GROUP OF INDIVIDUALS

When the individual efforts of the members of a working force are properly coordinated a team condition is produced and team results are obtained. When this condition is not present there is not concerted effort but rather there exists a conglomeration of individual efforts, each of which may be less than fully effective because of duplication, the absence of the doing of things which are prerequisite to the doing of other things, and for a great number of similar reasons.

While we are concerned, of course, with the matter of coordination of a work operation the necessity for effective coordination in any cooperative undertaking may be well illustrated in considering the performance of the players on a football team. The rules of the game do not allow time to canvass the entire team, between plays, to get individual views, to discuss the pros and cons and then take a vote on the strategy that will work best. Accordingly, one member of the team is designated in advance as the field "manager," as the team coordinator. This manager decides upon each play and then imparts this decision to the other members by the use of signals with which all have been made familiar in advance. Each player then knows what his function is and he knows the function that is to be performed by each of his team mates. Each one is expected to perform his assigned function to the best of his ability and he expects the same of the others for he knows that the effectiveness of any one depends upon the effectiveness of the remainder. If a lineman fails to carry out his job the punt may be blocked, the passer may be rushed, or the ball carrier may be stopped before he can advance beyond the line of scrimmage. If such a failure is due to lack of individual proficiency that is one thing, but if it is due to failure to





conform to the agreed upon plan that is something else again. If the back passes when a running play is called the team effort is likely to fail for this one member disregarded the plan of action that had been agreed upon.

The same principle has full application in the work situation. And the results, under varying sets of conditions, will be relatively the same. Each one who takes part must understand what he is to do. He must know what the others are responsible for doing when their work operations are closely related to or are dependent upon each other. And each member is responsible for carrying out this function in the manner agreed upon or for promptly reporting his inability to do so in order that the necessary adjustments in the plan of action may be made. It is imperative that everyone who needs to know about necessary or desirable changes does know what the changes are and must modify his original plan of action in order to accomplish a satisfactory result under the new set of circumstances. Thus, it immediately becomes evident that a basic requirement for effective coordination is good communications.

#### THE RESULTS FROM THE LACK OF EFFECTIVE COORDINATION

The undesirable effects of ineffective coordination in any enterprise are usually pretty obvious. Certain operations will not be performed on time because of the lack of understanding with respect to individual responsibilities for carrying out those operations. Work will be delayed because other operations upon which such work depended were not performed when they should have been or in the manner required by the dependent operations. There will occur periods in which the workload is too heavy for the available force and there will be other times when



the force has less than a full workload. Deadlines will not be met. Qualitative standards will be lowered in the interest of speed of accomplishment necessitated by emergencies which develop because of the lack of opportunity for adequate preparation. Duplicate effort will be expended because of the absence of a common understanding with respect to individual responsibilities. And unit costs will mount because of ineffective utilization of men, of machines, of materials, and of time.

It is not particularly difficult to recognize the existence of these conditions and others like them. Awareness of their existence is, of course, a necessity before anything of a constructive nature can be done. But mere awareness is not enough. It is the manager's job to act positively to determine the reasons for the presence of such conditions, to determine the basic causes. And then it is his further job to take the action that is needed to prevent their recurrence. But to be fully competent he cannot stop there. He must do the other things that are necessary to prevent occurrences of the same kind from happening in other vulnerable places.

However, there is one more result brought about by poorly coordinated operations which is much more costly than any of those we have mentioned so far. Because it is so costly it is something that every administrative official needs to be very much concerned about. And that is the feeling of frustration that is experienced by the individual employees who are unfortunate enough to be principals in the situation. Their frustration occurs for a number of basic reasons. Some of their respect for management is lost. They are inclined to think that those people don't know what they want. Of course, the detrimental effects





upon the work, upon the amount and quality of production, usually defy precise measurement. But these effects are as real, and probably are often at least as costly as many of the other similar results which are much more apparent.

Every reasonably capable employee wants to feel that he has a share in the undertaking, and in the accomplishments as well. He wants to share in the good things and in the bad, in the ups and in the downs. He wants and he must have some individual responsibility which, when he redeems it, contributes to the accomplishment of the whole. He wants what we call "job satisfaction." And his boss, if he is qualified, recognizes that fact and makes it a matter of real concern to him. For he knows that without adequate job satisfaction there will be inadequate job accomplishment.

#### WHO IS RESPONSIBLE?

As we mentioned earlier, it is the contention of many that the administrator has few greater responsibilities than that of coordinating the operations for which he is held accountable. This basic responsibility obviously is present in the job of every individual manager. And this responsibility extends to all of the operations carried on within all of the subordinate levels. Of course, in redeeming this responsibility the administrative head sees to it that each of his subordinate managers discharges effectively his coordinating function. That is, as the manager performs all of the individual functions of the enterprise through his subordinates, he delegates to them and holds them individually responsible for the proper coordination of their respective operations.





### Recognition of Responsibility

Naturally, the first responsibility of the manager, with respect to his coordinative function, is his full recognition of this responsibility and his full acceptance of it. Of course, this same thing is true with respect to every other administrative function but frequent repetition of this "admonition," may be fully justified. And it is particularly important here for it is impossible to coordinate the efforts of people without working closely with those people, both individually and collectively. The point that we are so desirous of emphasizing is this. The manager who spends time personally doing individual tasks cannot, while he is so engaged, be acceptably effective in coordinating the activities of his staff. That is one of the biggest reasons why it is so important for the manager deliberately to avoid doing individual tasks. For when he does personally perform many individual jobs he cannot coordinate, and neither can he direct nor control effectively. In short, he cannot manage. Every manager will profit from the continuing realization that he is not a "case worker."

Every subordinate, whether he is a manager or not, has a real responsibility to his superior in the effective carrying out of the coordinating function for which the superior has the overall responsibility. For coordination can be complete only when each member of the subordinate group recognizes the nature and degree of his dependency upon the others, and their dependency upon him. And when, as a result of that recognition, he performs his individual responsibilities precisely in the manner agreed upon. It follows then, that the subordinate has the further responsibility of keeping his superior, and the others who may be involved in this inter-dependency relationship, currently informed as to



the progress on his job, the degree to which he has adhered to the original plan, and the suggested departures which he considers desirable in the light of current conditions.

### THE INFLUENCE OF THE SUBORDINATE STAFF

One of the basic considerations in the organizing process, which is so closely related to the manager's function of coordination, is usually referred to as the "span of control" principle. Specifically, this principle relates to the number of subordinate relationships which the manager is capable of coordinating effectively, and establishes the fact that there are limits, in both directions, to this number.

#### The Number Of Subordinates

For a number of reasons, there is a definite limit to the number of subordinates any one manager is able to manage effectively. The impact of sheer numbers is, of course, one of the reasons. However, there is another factor that exerts a much greater influence. And that factor results from the fact that people do not always react in the same manner, particularly when the conditions which influence their behavior are variable. Individuals react differently under different sets of circumstances. For example, when working alone with his supervisor an employee will react in one way. When another subordinate is added to the group, each will react in a different way. And when a third subordinate joins the group each will react still differently, and so on.

It would seem to follow then, that under a fixed set of general circumstances the addition of just one more employee to an existing subordinate staff will result in a substantial increase in the number of possible relationships. And it is just such relationships which contribute





substantially to the manager's coordination problems. Accordingly, it seems evident that the greater the number of subordinates the greater the number of possible relationships, the greater the number of possible problems, and the more difficult the coordinating job becomes.

#### There Are Many Other Factors

While the number of immediate subordinates doubtless exerts one of the greatest influences upon the coordinative function, there are numerous other factors which contribute in no small way. Geographical dispersion, diversity of the activities that are carried on, the degree of inter-dependence among such activities, and the organizational level of the subordinate staff are some of the factors which need to be taken into consideration. And there are a number of others.

The span of control principle came into being as a result of considerable research and from the careful analysis of practical job situations. This particular phase of the manager's function has been accorded much study, particularly during the past three or four decades. The soundness of the basic concept reflected in this generally accepted principle is well established. However, validity of the principle is occasionally challenged but is never successfully contested. Usually, such challenges are based on contentions which fail to take into consideration certain of the other influencing factors, some of which are mentioned in the preceding paragraph.

While the basic span of control principle is of unquestionable validity its acceptance or possibly we should say its application, has been somewhat less than the degree that is clearly justified. The creation of this condition may be attributed, at least in part, to the efforts of some authorities to establish precise numerical limits with respect to the size





of the subordinate group. Some authorities have been insistent that seven is the optimum number, others favor five and still others prescribe upper and lower limits which do not seem, generally, to go below three or above seven or eight. But, in any event, we may logically conclude that the numerical size of the subordinate staff, standing alone, does not represent the single controlling factor. There are many others.

#### Recognition Of The Individual Manager's Limitations

Of the greatest importance in this respect is the bringing about of general recognition that there are definite limits, both upper and lower, to the size of subordinate staff that will prove most effective. And the further recognition that too flagrant disregard for those limits will create problems of no little consequence. Problems that could be largely avoided by appropriate consideration for the ability of one person to control effectively a group of other persons. The very great extremes, in either direction, are usually recognized and often something is done in an effort to improve the situation. Of course, the action that is taken may not prove to be particularly productive, especially when the true situation is not squarely faced. But the border-line conditions are the ones most likely to cause the most trouble for the actual situation may not even be recognized or even if it is, it may be permitted to continue indefinitely.

#### Conditions Causing Difficulty

Organizations which undergo gradual but substantial growth seem to be the ones which encounter difficulty by reason of excesses in the size of the subordinate staffs for which individual managers are responsible. It is not unusual for an organization, at the time of its creation, to be made up of a number of small units, with some of these units consisting



of only one full-time employee and possibly one or two part-time helpers. As the organization expands a few more people are added, possibly one or two at a time, until the employees in these same units may number eight, or twelve, or twenty or more. This increase is often so gradual that the need for change in the form of organization is entirely overlooked. Consequently, the head of the unit continues to operate just about as he did originally when he had virtually no managerial functions. Now he has become a full-time manager and now he experiences a great deal of difficulty because that fact has not been recognized. His mode of operation remains about the same as it was. He has not revised his way of operating to conform to the different conditions brought about by the periodic increases in his subordinate force. He tries, unsuccessfully, to carry on most or all of the personal jobs as he did in the beginning and at the same time he tries to direct a sizeable group of people. He is unable to do both. He must now devote his full time to management for he is now a full time manager. And it may be logical to subdivide his administrative load still further by establishing another administrative level, with his immediate subordinate force then consisting primarily of other management officers.

Of course, there are several other kinds of developments which will create the same type of situation as the one just described. And it would seem to be well for us to recognize that gradual but substantial reduction in force will produce similar disparities calling for positive attention. But in that case the results calling for consideration are in reverse. The subordinate force may become too few in number rather than too many. And when that happens the corrective measures may consist of the elimination of administrative levels which were needed before but are no





longer necessary or appropriate. The necessity for remedial action is about as urgent as it was when the situation was reversed. For the end results are just about the same with an inadequate management force as they are when the number of administrative officials is in excess of the need. Of course, in the latter instance the subordinate will be over-directed while in the other he received too little attention. But the effects upon his efficiency will not be dissimilar in either instance.

### The Principle Is Sound

As we indicated earlier, it is not possible to establish a hard and fast rule which prescribes the precise number of subordinates most appropriate for any manager. But we can, and must, recognize that there are proper limits, both bottom and top, for every situation. We must identify and consider all of the important factors which enter into the determination of the proper number. And we must never lose sight of the fact that once this determination has been made we may not presume that it will thereafter remain appropriate. We need to control the state of coordination just as we control other organizational and operational features. We need to take a look, at periodic intervals, to compare the actual condition with that which was previously prescribed. For conditions never remain static and because that is true the decisions based on those conditions need to be adjusted so that they will best fit the current circumstances.

Recently, there seems to be a strong tendency to question the validity of the basic principle of span of control. Those who are so inclined justify their contentions by the claim that it is impossible to prescribe definite numerical limits, with respect to the subordinate staff, which have application in all situations. These contentions do not serve to





discredit the soundness of the principle. Rather, they serve to reflect the inaccuracy of its interpretation. For we are convinced that the significance of the principle was intended, by those responsible for its development, to consist of calling attention to the fact that there are definite limits with respect to anyone individual's ability to control. And that it was the further intention of those deserving full credit for arriving at this logical conclusion, that in the determination of those limits all contributing factors would be taken into account. It was never their intention that the principle would be interpreted as a precise numerical prescription, equally appropriate in all situations.

With respect to those who voice the view that the principle is now proving to be unsound, we are compelled to conclude that such unsoundness relates to their interpretation of the principle rather than its intent.

In any event, the coordination function of the manager is so important in comparison with many of his other responsibilities, that it must, at all times, be given precedence over a number of the others. And under no circumstances should any management permit any manager to perform task operations at the expense of his coordinative function.

#### POLICIES AND PRACTICES PRODUCING SUBSTANDARD COORDINATION

The desired condition we are talking about will not just happen, will not come into being in the absence of the necessary attention. To create it requires deliberate effort which is logical in character and orderly in application. When certain things are done and others are not done there is the effect of not creating, of not establishing, the necessary operational and personal relationships. And these things may even have the effect of discouraging this state of integration, actually of encouraging



independent and unrelated action.

It appears to be well for every member of the management force to realize that each phase of the administrative function exerts a definite influence in this respect. Consequently, all phases of the manager's job all administrative acts he performs, must themselves be coordinated in order that there may be reasonable assurance of acceptably coordinated effort in the execution process. For, after all, that is the end objective. The means to the attainment of that end are the things that management does and does not do.

#### Poor Communications

We might describe poor communications as failure to see to it that those who should know do know the things they need to know. And we have reference to the flow of information, regardless of the manner in which it is imparted, in all directions, particularly in a vertical direction from below.

Whenever any occurrence of any particular importance takes place it would seem to be a good policy for the responsible manager deliberately to determine the answer to this question - Who should I inform about this? He may find that he should arrange for subordinates not participating up to that point to be told about what took place and what conclusions have been arrived at. He should consider the desirability of providing such information to his superior. When there seems to be some question as to the necessity of informing others, the decision should usually be in the affirmative, they should be informed. That is the sure way to avoid taking unnecessary chances that might prove to be costly. Naturally, the job of relaying appropriate information to those who should be in possession of the information can and should in many





instances be delegated to subordinates. Again, it is the responsibility of the individual manager to see to it that it is done, not necessarily his job to do it personally.

And possibly that which is of still greater concern to every manager has to do with the flow of information, ideas, suggestions, and opinions from the members of his subordinate staff to him. When it appears that his people are not providing him with the information they possess, and he needs, including their personal opinions about the organization and its operations, the manager seldom needs to look beyond himself. But he does need to look there. For the condition which is obviously unsatisfactory did not develop without reason. And those reasons will almost invariably be found, if the manager looks long and diligently enough, in the policies that are prescribed or in the practices that are being followed, or both. And it is some manager at some level who prescribes policy and who establishes practice.

#### Faulty Organization

We have previously made some mention of the relationship of the span of control to the coordination function. It was brought out that the size of the subordinate staff reporting directly to each manager must be maintained within workable limits. While it is true that this one factor exerts substantial influence it would seem that its relative importance has been considerably over-emphasized. For there are quite a number of other basic organizational principles which, when disregarded, will add substantially to the complexity of the coordinating job. And those same principles, when accorded appropriate attention, will make the coordinating operation relatively easy and will virtually assure an acceptable condition.





When the division of work has not been accomplished on an orderly and logical basis the maintaining of smooth operations is made more difficult and a greater number of problem situations are likely to develop. To the extent feasible, the kinds of work assigned to individual subordinates and to individual work units should be such that a minimum of interdependency exists. To say it another way, functional entities should be assigned to the fullest extent to individuals, and to individual work units, rather than to be sub-divided and distributed among several people or units when such a degree division is not required by reason of work volume or other considerations.

Flagrant violation of the one boss principle is not merely likely to create innumerable difficulties, such consequences are positively certain. This is one question about which not the slightest bit of doubt needs to exist. The difficulties under such an arrangement are so very obvious that the citing of a great number of illustrations at this point hardly seems justified. When the members of a work unit receive instructions from more than one head, those instructions are certain, sooner or later, to be in conflict. Of course, the degree of conflict will vary but will be present and the unacceptable results will pyramid. For when an individual attempts to meet the requirements prescribed from two or more sources a chain reaction is started. In attempting to comply fully with the requirements of one boss the individual will, unavoidably, be disregarding, to some degree, the wishes of the other bosses. And when one boss who feels that he has been left out starts putting the pressure on, the unfortunate individual may redirect his attention with the inevitable knowledge that the pressure will then start coming from some other direction. When this unjustified condition exists, the appropriate



superior will be left out or will be in possession of information which is incomplete, inaccurate or inconsistent.

Vague delegations to subordinates not only invite difficulty but may be depended upon to produce poor results and to involve, to some degree, all who are parties to the arrangement. For it should be very clear that when the individual does not clearly understand what he is responsible for and where his authority starts and ends it is a certainty that at some time things will not get done when and how they should be done, if at all. And, of course, the assignment of responsibility without adequate authority makes it next to impossible for those responsible to carry on their operations in an orderly way. The same result is produced when there is encroachment by the superior, or by someone else, after the delegation has been made.

Over-centralization of responsibility and authority must be avoided. When this condition exists the individual on the firing line will constantly be confronted with the need for getting clearance from a remote point before he takes action. Members of the organization who are not attached to the central office will be so dependent upon that office that they will be spending a disproportionate amount of time in the process of obtaining approval and concurrence from headquarters. And while these people are doing this they will have less time and opportunity to exercise initiative and ingenuity, less chance to go ahead on their own. When it is necessary to check in almost constantly with the head office, particularly with respect to matters of less than major importance, there will be disruption and delay in the conduct of current activities. But the deterring influences upon the current work are relatively less important than certain other ones. For there grows out of this restrictive situation an ever increasing





feeling of dependency which works counter to an important basic need, that of individual employee development.

At the same time, over-decentralization of responsibility and authority constitutes a source of trouble which needs to be avoided. Of course, the quality of personnel at the operating level will determine, to a considerable degree, just how much difficulty will result from over-decentralization, from maintaining too little control at the central headquarters. When unusual authority is vested in those considerably removed from the headquarters, by reason of distance or location in the organizational structure, there is always the possibility that new developments, such as changes in policy, procedure or plans, will reach those people too late. Less difficulty in this regard will be experienced, of course, if the "channels of communications" to them and from them are kept open. But if these channels become obstructed, with any degree of frequency, greater deliberate coordinative effort will be required and the results of those efforts may well be less than fully productive.

There is one specific practice, of an organizational nature, which seems to cause so much difficulty that to make definite mention of it appears necessary. We refer to the practice of failing to "put someone in charge." This happens rather frequently when the operations of a work unit are split up. When the unit force is divided up into two or three sub-units with each one engaged in a specific activity and possibly physically separated from the others. Particularly when this arrangement is first adopted and when it is to continue for a temporary period, possibly for the duration of the short term project, there seems to be a strong tendency to overlook the necessity for each sub-unit having a boss.





Naturally, some member of the sub-unit should be designated as the superior officer to whom the remainder are accountable. The reasons for failing to do this are not limited to a few and each one is seldom if ever valid. Sometimes this requirement is overlooked. At other times the reluctance to place someone in charge is occasioned by the fact that all members of the unit are about on a par with respect to seniority or experience. But whatever the conditions may be smooth operations may not be expected when unit leadership is not defined and made clearly known to all the members of the unit.

Obviously, the few organizational features having a direct bearing upon the manager's coordination function which we have mentioned represent only a portion of those we might have discussed. There are many others which you will have no particular difficulty in recognizing. But the important thing is that the basic organizational arrangement, once more, has considerable bearing upon this one managerial function. Just as the same and similar circumstances exert influence, to no small extent, upon the other functions of every management officer.

#### Absence of Unity of Interest and Purpose

When a close working relationship is not present among work units which are to some degree dependent upon each other, it is certain that at least some of the operations will not be carried out smoothly, will be executed in a less than fully effective manner in one or more respects. This type of condition may exist because of the lack of a common understanding among the people involved. Or it may be done deliberately when personal animosity is present. Possibly such a situation may exist because the necessity for close cooperation is not recognized by the responsible administrative heads. Or the condition may be brought about

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for any one or several of a great variety of other reasons.

In any event, when there are indications that such a condition is present, and such indications will make their appearance in the work results, the responsible manager evidences full competency only when he makes a real effort to determine the basic cause and takes positive action to correct it. It may not be particularly infrequent for the manager to discover that the fault rests with him rather than with his people. When that is true the correction may take an abnormal amount of time. For the less capable the manager the more reluctant he will be to admit his own shortcomings. Possibly it will be found that the condition is due primarily to lack of suitable communications, lack of proper consideration for the informational needs of others. This may be true in one or more directions. The superior may be holding out on his subordinates. The subordinates may be giving the boss the same kind of treatment by keeping him in the dark. Or the obstruction may be between officials at the same organizational level, thus serving to obstruct the lateral flow of information which is needed by all.

But the one managerial practice that will cause the individual members of work units to tend to operate as though they were unrelated and totally independent entities, is the non-delegating manager. The one who "tries to do everything" himself. Or the one who delegates with words but not with action. When that is the case, the individual is serving as the creator of confusion rather than as the coordinator that he should be.

#### Faulty Work Planning

Poor work planning, the absence of systematic work planning, or failure to adhere to the plans that are developed are situations which





contribute substantially to a state of poor coordination in any cooperative undertaking. Unfortunately, it is not infrequent that the planning of the work of an organizational unit is looked upon as a rather unnecessary operation, as something that is done in a perfunctory fashion merely because someone ordered that it would be done. Of course, when that attitude prevails the results reflected in the plans themselves, as well as the work they are supposed to help accomplish, are far from acceptable. At times, the people who are responsible for getting the work done are not permitted to take an active part in developing the plans for the doing of that work. Sometimes the work plans are developed by those responsible for execution but the plans are not finalized because those in authority never get around to letting the planners know if what they proposed is approved or disapproved. Or, the plans that are developed may be too sketchy or too detailed to be of much help in accomplishing the work to which they relate.

There is probably nothing that will help to bog down operations more than work plans which attempt to describe, in meticulous detail, most all of the minor features of the operations so far in advance that when the time comes to carry them out the plans prove to be grossly inaccurate. Also, it may be that logical plans of work are developed and are utilized but are not kept current, are not kept up-to-date. They may not be revised when they should be to reflect, at all times, the adjustments that are made necessary by reason of unforeseeable developments as they occur. As a consequence, that which is being done departs, to some degree, from the current plan, and when those departures become more and more frequent the plan becomes of increasingly less value and the condition of "playing by ear" may well develop. And when that happens





the condition that exists is just the same as it would be if the operation had not been planned originally. Besides, the time and effort expended in the original planning is virtually lost.

There are probably few other single activities possessing more inherent coordinative influences than that of work planning. The very nature of both the developmental and execution processes is such as to promote mutual understanding and action that is in concert. When a good job of work planning is done and when the results of those efforts are utilized fully in conjunction with day-to-day operations, the circumstances that are necessary to avoid the presence of disruptive influences are created. Let us consider some of the more important circumstances that are developed and maintained in conjunction with these processes.

1. All who are concerned with the operations are brought together and they collectively consider the items of concern to each one. Good communications are virtually assured.

2. The proper kind of relationship between the boss and each one of his people is developed. For they too are brought together for the purpose of considering the official responsibilities of each and in so doing they also consider the part that each will take in carrying out the work.

3. All who are concerned with the operations take part in the determination of what will be done and in the ways it will be done. All are "in on it." Each had a voice in his own future operations. As a consequence, the decisions that are arrived at will be more willingly accepted by all and, as a further consequence, those same people will more effectively carry out those decisions.

4. Responsibility and authority are definitely fixed and, where needed, clarification is provided. Each individual knows not only what he is to do, but what the others who are involved are to do.



5. Prescribed organizational relationships, policies, and procedures are looked at and their appropriateness with relation to the current situation is determined. Their periodic review is assured and there then exists a sound basis for the modifications made necessary by changing conditions.

6. The inter-relationship and inter-dependency that exists among operations and among the people who execute those operations are brought to light, and are established or clarified where necessary. The state of cooperation that is necessary in the interest of full efficiency is emphasized.

7. Operating standards as well as those relating to the finished products are given full consideration. As a result, there is improved understanding and increased uniformity not only with respect to understanding but with regard to application, as well.

8. And the all-important control function is definitely provided for. For it represents a positive provision in, an integral part of, the plan of work as well as in the execution of that work. The responsibility for periodic control efforts, checks, reviews, and inspections is definitely assigned at the several administrative levels, thereby virtually insuring that this vital feature will receive the proper attention by the right people at the right time.

#### Violation of Chain of Command

It would appear that there is no more certain way to confuse the issue, to disrupt individual efforts, than to disregard, to fail to respect, the established lines of authority. This practice is, for very obvious reasons, often referred to as by-passing. For when the practice is resorted to the individual who resorts to it passed by someone else in the





established chain of command. The administrative official who is guilty of by-passing or who permits by-passing by his subordinate managers is not only not helping to coordinate but he is, by his own acts, creating a state of confusion.

Unfortunately, one such violation in an organization leads to more of the same. A chain reaction is started. Those who are victims of the by-pass resent it. In self defense they are often inclined to resort to the same tactics. And the fellow who left them out may find that the next time he is left out. Justification for disregarding established lines of authority is present only in instances of extreme emergency. And even then, the disruptive effects which the departure would otherwise cause may and always should be completely avoided by prompt and complete explanation to those who were "left out."

It might be well to consider more thoroughly this matter of emergencies. A great deal of effort is not necessary to develop the attitude that a great many situations are valid emergencies and therefore justify violation of the chain of command. Frequently, such a view will be entertained merely because it appears to be desirable that something be done right now. Or it is much more convenient to instruct the individual worker who may be several levels removed rather than to take the time to issue the order to the proper individual, the appropriate line superior, who may not be present at the moment. Yes, it may be quicker and easier to do it that way. But it is the results we are concerned with. The results now and in the long run. The true emergency is, almost invariably, something that is of very limited duration. Usually something involving a single action, something which requires attention now, and may be brought to a definite conclusion quite promptly, rather than





something extending over a period of many hours or days or weeks. And for the reason that there are some so called emergency situations which, if successfully dealt with, demand concerted and fully integrated effort on the part of many, rigid adherence to the established chain of command is even more important than it would be if the operations were of a more routine nature. Under such conditions there does not exist the opportunity leisurely to regroup forces and resort to other tactical approaches. For individual acts produce virtually immediate results and any slip at any point in the collective effort which must remain thoroughly integrated may produce disastrous results for which no remedy is possible.

And, unfortunately, there are some in managerial positions who attempt to justify frequent violations of the chain of command on the basis of what is called "expediency". Usually, it would seem that this represents a wholly unjustified rationalizing attempt. Actually, nothing more than an attempt to justify acts which no management can afford to condone. This sort of practice can produce nothing but relative inefficiency. For, even though a single violation may result in but negligible adverse effects, constant repetition will inevitably bring about lowered effectiveness on the part of the one who violates and on the part of those who are on the receiving end. But the destructive influence extends well beyond these points. The others who are in some way directly affected as well as those who are not but who are still aware of the practice will, sooner or later, evidence some form of undesirable reaction in their own operations.

Then there is another too common practice quite similar to the one of by-passing. It is just as undesirable, possibly more so. Possibly it is just an accentuated version of the by-pass. We refer to the practice



of the line officer who instructs one of his subordinates to issue orders directly to an individual who is not his subordinate. In such cases the line officer is not only getting out of line personally but he is putting at least three other people on a very tough spot. He is causing difficulty for his subordinate, for the recipient of the improper order, and for the official superior of that recipient.

#### Failure To Respect The Line-Staff Relationship

As we have indicated a number of times previously, it is the function of the line to get things done and the function of the staff to help the line get those things done. There is, of course, a substantial measure of difference in these two responsibilities. It is the manager's job to see to it that neither gets over into the field of the other. Staff officials are held responsible for not assuming line responsibilities and line officers have the real responsibility for preventing the staff of usurping line functions. The staff facilitates the operations of the line unit and the staff never is responsible, in the final analysis, for doing the things the line is supposed to do.

There are a number of inherent difficulties in maintaining the right kind of relationship between these two forces. In some cases the line is particularly aggressive and proceeds to crowd in on the staff. At other times, the line is relatively weak and permits, possibly encourages, the staff to assume responsibility for some of the functions of the line. The manager who permits either to get outside, and remain outside, its proper sphere is nothing short of derelict. Of course, it is desirable, in fact necessary, in the interest of full efficiency for the members of both the line and the staff to be reasonably aggressive with relation to the conduct of their respective operations. However, that aggression must be





kept within bounds, must be controlled. And that is the manager's job. When he permits either persistently to usurp or encroach upon the prerogatives of the other he has lost control. He has permitted a seriously disruptive condition to develop and to remain. He is no longer coordinating, no longer managing. When this state of affairs exists both line and staff lose. The organization loses and so does every member of it.

#### Reluctance To Inject Another Level

We have already mentioned that it is not particularly unusual to find that the administrative official may be faced with an almost impossible coordinating job by reason of the size of the immediately subordinate staff. By reason of the great number of people who are reporting directly to him. The correcting of this condition may not, of course, follow a definite pattern in each instance. A careful review of the situation may indicate the logic of transferring elsewhere certain of the functions, and of transferring the people responsible for those functions. But when action of this kind is not indicated, when it is decided that the unit in question will remain virtually intact, it becomes immediately evident that some internal reorganization is called for. Not infrequently the proper course of action consists of the injection of one more administrative level. Thereby reducing substantially the number of individuals reporting directly to the unit head.

In spite of the fact that the addition of one more intermediate administrative level is often the logical solution to the problem, there is, many times, extreme reluctance to do this. The basis for that reluctance would seem to be ill-founded in more than a negligible number of instances. Often, the feeling seems to be that this sort of action would remove the unit head still further from the operations down the line. It





would appear that many times this is a fallacious view. The relative acceptability of each of the two situations needs to be considered separately. And the relative merits of each one appropriately weighed in arriving at a decision as to which is more acceptable. Under the current situation it is admitted that the unit head is so bogged down with the individual problems of those immediately subordinate to him that he is unable to devote sufficient attention to their work or to them as individuals. By transferring the majority of this kind of responsibility to others, to a greatly reduced number of subordinates, the unit head will have considerably more time to do the exact things that he had insufficient time to do before. In effect, the one more intermediate level will not remove him farther from his operations and his people but will place him in closer contact with them. This is a fact which may readily be substantiated. And that fact needs to be recognized when it becomes evident to the management force that certain administrative officers are attempting to administer immediately subordinate staffs that are clearly too large.

#### WHAT THE MANAGER MUST DO TO INSURE COORDINATED OPERATIONS

In the consideration of the total job of the manager it is the normal practice to divide the operation into three parts. It is generally recognized that it is the manager's job to direct his operations, to coordinate his operations and to control his operations. The principal method of directing is by prescribing policy and procedure. The primary methods of coordinating are those that we are now considering. The means by which control is maintained consists primarily of inspection or review. Taken either separately or collectively these three functions have one primary purpose, to cause the operations to be carried out with an acceptable degree of efficiency.



All Phases Of The Manager's Job Are Inter-related

Also, it is the customary practice to consider separately each of these three major management functions, direction, coordination, and control. There is no particular objection to treating each of these separately so long as it is not assumed that each is a separate and distinct function which may be performed in a manner that is separate and distinct from the other two. For in the actual conduct of these three major functions the fact that they are so closely inter-related, so closely integrated, causes their results to be similarly overlapping. As a consequence, in the doing of one of these functions it is almost invariably true that there will be some accomplishment in either or both of the other areas.

To illustrate this point, it is seldom feasible or even possible for the manager to divide up his work so precisely that he is able to decide that during one week he will devote his entire efforts to the directional function, during another week he will spend all of his time on coordination, and during a third week will limit his activities to controlling. It is true, of course, that during one of these periods he may spend virtually all of his time on policy development which is primarily direction. And he may be engaged primarily on inspection during another period, which is primarily control. But all of the time he is developing policy he is probably conferring with the members of his staff and such conferences produce a very definite coordinating result.

While he is inspecting he is looking into operating methods and work results with those who are responsible for such operations. In the course of such considerations it is inevitable that there is a definite flow of information in both directions, from the manager to his



be part

subordinates and from the subordinates to the manager. All of the time this is happening some very real coordinative influences are created. In both of these instances these coordinating influences might be considered as by-products of the primary operation. But those by-products are of substantial proportions and will produce very definite effects upon the activities of the people who were involved. It would seem to be very evident that this fact needs to be recognized, is something that no manager can afford to lose sight of in connection with each one of his official acts.

As we mentioned earlier, the manager's responsibility for coordination is very real. . . And it would appear to be justified, in the interest of clarity and thoroughness, for us to look upon the function as a distinct entity, at least for the purpose of our consideration of it. At the same time, it would appear entirely appropriate to conclude that the manager redeems his coordinating responsibility through performance of the other two major functions, direction and control. For example, any one specific operation such as a conference involving all of the members of the immediate staff, may be conducted for the primary purpose of coordinating the work of that particular group. But in the actual conducting of the conference, in the process of carrying out this coordinative operation, the specific processes that are involved are those of direction and control.

Accordingly, in line with the concept we have just discussed, the conditions which need to be created, and the practices which need to be followed to create and maintain a state of effective coordination, are of themselves, made up of specific phases of the function of direction or of the function of control, or both. Then, it would appear obvious that





the acceptability of the state of coordination will depend largely upon the effectiveness of certain very definite direction and control features. There is probably little need for pointing up the logic of striving initially for effective direction and effective control rather than initially to accord these matters less than adequate attention with the view of later remedying such discrepancies as may develop as a result of lack of earlier attention. For, in the first instance a preventive approach is followed with the objective of avoiding the development of situations requiring correction. While in the second instance we are doing nothing more than inviting the development of discrepancies necessitating remedial attention which must take the same form as the original action, only this time we will try to do a better job than we did initially. In the following we will review certain of the more important of the conditions and the practices which call for an appropriate degree of attention and concern in the interest of creating and maintaining an acceptable state of coordination.

#### Clear And Adequate Statements Of Policy

A statement of policy indicates, often in broad terms, what will be done and provides definite indication as to which segments of the organization will be responsible for doing it. The fact that the statement assigns certain responsibilities and authority is probably one of its most important features. For in this way those who are held responsible are in possession of that information. They know what they are expected to do and, of at least some degree of importance, they know what they are not supposed to do. Obviously, no questions concerning the limits of responsibility and authority may exist if the people making up the organization are to carry out their function in an orderly manner. And the same people need to know, as well, the end results that the organization



expects to achieve, and they need to know the relative importance of the several intermediate objectives leading up to the primary one.

In this connection, it is well to realize that the basic operating policies of different organizations are frequently substantially dissimilar. Of course, this may also be true with relation to certain of the organizational entities within the same official hierarchy. Repetitious conformance to a stated policy for an appreciable period tends to establish firmly fixed attitudes and practices on the part of those individuals subject to these influences. As the interchange of people among organizational units represents a rather common practice the necessity for clear and adequate policy statements understood by all becomes clearly evident.

#### Routine Adherence To Prescribed Policy

It is the job of every manager to make certain that the basic policies which have been prescribed are not lost sight of in the course of day-to-day operations. For a stated policy remains effective until rescinded or modified by competent authority. Individual interest and outside pressures represent some of the hazards which, unless adequately controlled, will tend to result in policy departures, often producing the effect of the expenditure of time and effort on operations that are of relatively less importance or of unauthorized character.

Policies must be kept alive. They tend to be easily forgotten about unless they are revived rather frequently. It is the manager's responsibility to refresh his own understanding and the understanding of his subordinates periodically with respect to the policies that were previously established and are currently in force. It is the further responsibility of each employee to operate, at all times, in accordance with the terms of the currently effective policy. And, of course, it is the responsibility of each manager to see to it that an acceptable degree of compliance





exists within his unit.

Obviously, any established policy is presumed to reflect the results of the considered judgment of those possessing the responsibility and the authority for rendering such determinations. And it is further presumed that the established policies will when followed, under normal circumstances, enhance the opportunity to attain organizational objectives. Nevertheless, literal conformance to the policy provisions, under all circumstances, is likely, on occasion, not to be in the best interest of all concerned. The influence of unusual circumstances and the application of sound judgment may, at times, dictate the propriety of some degree of departure. Under such circumstances appropriate departure should occur. But it is important that it be recognized for what it is. That unusual and exceptional circumstances indicated the justification for unusual or exceptional action. And once the incident is over the normal mode of operation again prevails. But at this point there is a degree of danger that is not trivial. There may be a tendency to look upon the abnormal action as an indication of modification of policy. And the exceptional practice may be followed again and again under circumstances which may or may not justify such courses of action. Under such circumstances the required administrative control must be exercised, resulting in either the resumption of rigid adherence or appropriate modification of the current policy by those with the authority to take such action.

#### Clear And Adequate Procedures

The necessary operating procedures must be clearly understood, they must be adhered to and need to be appropriately revised to meet changing conditions. Of course, the required procedures, including





those mandates commonly known as rules and regulations, need to be adequate. At the same time, serious consequences will result from any attempt to anticipate all possible conditions and to attempt to prescribe the precise thing to do to meet every possible eventuality that may occur. For restrictive procedures suppress individual initiative and ingenuity. Employees want and they must have the opportunity to do some of their own thinking. When they are deprived of this opportunity, by management everyone loses and that includes those who are a part of the management force and those who are not. The latter will look upon management as being dictatorial. Management will be concerned about failure to display "initiative" and management may fail, for a time at least to recognize that it is at fault. That by its own action it has failed to provide the members of the organization with something they must have in order for them to meet the standards which management itself has prescribed.

Procedures and other prescribed operating practices must be realistic and "rules" must be enforceable, and they must be enforced. The deterrent influence of an unenforceable rule is not limited to the normal scope of influence of that rule. Non-compliance with it is, by comparison often of little consequence. That which is of consequence, however, is the deteriorating effect upon the other rules, upon those which are appropriate. For when it becomes evident to the people concerned that certain rules and regulations are not enforceable, but still remain in the books, these individuals are at a loss to determine which ones are to be complied with and which ones are to be disregarded. This fact would seem to clearly indicate the necessity for exercising extreme care in initial rule adoption, particularly with respect to those of a restrictive nature, and the importance of arranging for periodic review. For even under the



most competent management some undesirable regulations will be adopted and, under all types of management certain regulations will, to some degree at least, become obsolete.

The basis for determining the propriety of prescribing any rule or regulation should rest with the need for it. For most any regulation will be looked upon by some to whom it applies as being restrictive. And it cannot be denied that too much regulation, too much regimentation, is resented by nearly all of those affected. For very obvious reasons such resentment among the members of any organization is to be avoided.

To impose a restriction upon many as a safeguard against the possibility of violation by a few is a practice which is usually unsound, one which is seldom if ever justified. The manager needs to recognize, and to accept, the fact that effective management cannot be achieved through rules and regulations. Excessive attempts to prevent problems, or to solve them, through the issuance of restrictive mandate are never effective and represents a wholly improper management practice. Efforts of this character may never serve as effective substitutes for sound administration.

#### Operating "Out In Front"

As is true of most all of the administrative activities the most effective coordination is that which is accomplished before the fact. The function should be looked upon and carried out as a preventive measure. For to insure a smooth running operation the manager must spend a sufficient amount of time looking ahead, doing the best possible job of determining what is certain and what is probable on the basis of the conditions which do exist as well as those which may later exist. It is the process of deciding what he needs to do now to create the later conditions that are





desired. Of course, the arriving at those determinations represents but the first part of the job. This must be followed by action, by doing or seeing to it that others do the things the manager decided needed to be done. The basic logic behind this mode of operation is simply this. That it is always best to do now that which is necessary to maintain adequate control over the happenings of the future. That it is much better to prevent the undesirable from happening rather than to wait until it does happen and then try to remedy it. That it is always best to do certain things now in the interest of causing future happenings to be as we desire them.

Probably most all of us are familiar with the managerial officer who says that he is "too busy" to get down to the consideration of basic causes, to do things now with the express purpose of attempting to influence the future. Those who say that they are "too busy" are often busy because they are rushing around spending most of their time "putting out fires." Frequently, they are doing the work of someone else and, as a consequence, are not doing their own. While they are putting out individual fires more fires are starting and, of course, they too have to be put out. The situation never gets any better and usually gets a lot worse. The fire fighting administrator gets busier and busier. Because he is not devoting his attention to and spending his time on the doing of things that would prevent many of the things that cause him to be so busy. Because he is not taking steps to keep his problems from developing.

The competent manager never devotes much of his time working on "cases". He spends his time "out in front" in preventing them from starting and occasionally in working on some of the more difficult ones that, in spite of his best efforts, do attain some size. But even then





his first concern is to determine the cause, to find out why it occurred and why it attained the proportions that it did. He gives his attention to these matters so that he may act logically in preventing the same situation, or a similar one, from developing again.

#### The Right Relationship Between The Boss And Each Subordinate

It would seem to be almost unnecessary to dwell upon the fact that the members of any organization cannot operate with full efficiency unless they have all of the knowledge they need about the things that affect their work. To establish this sort of condition it is necessary, of course, that each individual be adequately interested in the work of the other fellow, if that work has a definite relationship to his own, or if the individual has the overall responsibility for that work. Obviously, such a work relationship exists between each supervisor and each one of his subordinates. This relationship is so intimate and the operations and accomplishments of both are so interdependent that the success of one depends upon the success of the other. The superior shares completely the failures as well as the achievements of his subordinates. And the subordinate similarly profits, or loses, from the achievements and the failures of his superior. Their objectives are identical even though the planes in which they operate are not. It becomes clearly evident then, that it is in the distinct interest of both to see to it that their efforts are never at cross purposes, that no semblance of a barrier between them is permitted to develop, or is allowed to remain once it does put in an appearance.

#### Effective Evaluation Of Individual Performance

We have emphasized the great need for establishing and maintaining the proper relationship between the boss and each one of his people. But this condition is one which will not just happen. It is something that

The first of these is the fact that the  
government has been unable to  
obtain the necessary funds to  
carry out its policy.

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has to be worked at. It is an integral part of the official assignment of each. There are numerous things that have to be done, some of them deliberately and most of them continuously, to create and to retain this condition which is so basically imperative.

However, the creating of the proper relationship between the boss and each member of his immediate staff, and the keeping of that kind of a relationship will be accomplished more readily when there is a clearly desirable reason for doing it which is obvious to both parties. Both will agree that it is logical for them to review periodically the various aspects of the subordinate's work. Both will recognize the mutual advantages of doing it. Accordingly, when it is the standard policy and practice to evaluate individual performance, in an efficient manner, that process proves to be one of the most effective ways to maintain desirable state of coordination.

This operation is carried out in a manner that is worth the effort when there is thorough and frank consideration of the way the employee is performing his job and of the results he is thereby achieving. For when this is done it is inevitable that all of the important aspects of the operation will be dealt with. Such consideration will involve policy, procedure, responsibility, authority, and the other organizational relationships as they apply to the employee and to his particular assignment. The clear understanding that results will do a great deal to avoid misunderstanding and to prevent the resultant adverse consequences which are a virtual certainty when the proper understanding does not exist. But the desired relationship will not forever remain, once it has been established, without further attention. It has to be maintained. And this is accomplished by repetition of the process with adequate frequency and





before the need for remedial action shows up. Before the fact rather than after. After all, the maintaining of a clear understanding on the part of each one of the individuals involved is the very essence of coordinated action.

### Good Work Plans Used Properly

There are a number of major administrative practices which contribute substantially toward an acceptable state of coordination. We have mentioned some and will refer to others. Good work planning is one of them. The individual processes inherent in the development of the plan, in the utilization of the plan, and in the necessary follow-up are particularly effective.

In work plan preparation all who are responsible for doing the work take an active part in determining how and when it will be done and who will do it. In the utilization of the agreed upon plan, each individual has frequent occasion to review the determinations that were mutually decided, such determination being reflected in the provisions of the plan itself. These decisions are clearly recorded and each responsible person is guided by operating blue prints which are identical.

In the follow-up that is required to determine progress, to formulate the detailed plan of action for the immediate future, and to effect adjustments necessitated by developments not previously foreseen, it is necessary for all parties involved to confer, to reaffirm prior decisions, and to otherwise correlate the integrated operation. Of course, the efficient development and use of good work plans will not result in positive assurance that all operations will be fully coordinated. It will not do the complete job. But it will accomplish a good part of it. It will provide assurance of reasonably smooth operations and will reduce, very





materially, the time and effort that is required thereafter to insure the existence of a state of coordination that is considered to be acceptable.

The influences of good work planning upon the coordinative function, as well as upon all others for which the manager is responsible, are substantial. And they are so important, and of such a desirable character, that it might be well to tabulate the specific benefits that are produced in this way.

1. All who are concerned with and are in any way responsible for the operations get together and thoroughly consider the various aspects. Each one contributes his views. He had a part in the undertaking. As a consequence, the determinations that are arrived at are, to some degree, the determinations of each member involved. And, as a result, each one will more willingly accept the conclusions of the group. By reason of that acceptance each one will more effectively carry out his part. For his personal responsibility is felt more strongly.
2. Objectives are more definite and specific. Are better understood. Are recognized as being more "common" in nature, rather than as a conglomeration of individual objectives having no particular inter-relationship or, still worse, being somewhat in conflict.
3. The boss and his people are brought together. The boss knows what his people are thinking and they understand the boss' views. There is full opportunity for complete staff utilization. And, after all, that is the primary function of the superior. Because of this close working association, the process contributes in no small way



to the developing and the keeping of that all important relationship between the boss and his folks.

4. Responsibilities, of individual units and individual employees, are definitely fixed. There need remain no question as to what each one is responsible for doing. And each one becomes familiar with the responsibilities assigned to each of the others. The extent of the authority needed to carry out individual responsibilities is determined and the needed authority is granted. Once again, authority relationships are established, are re-established, or are reaffirmed.

5. Each one understands how the other fellow fits in to the total picture. For that reason there is fuller appreciation, on the part of each, as to the relative importance of the other fellow's work to his own. And, by reason of that understanding there is fuller recognition of the extent of dependency of each one upon the other.

6. And finally, the control feature is definitely provided for. For there is agreement upon, and definite provision made, for, the needed checks, follow-ups, and inspections. The responsibility for carrying out each of these control features is definitely fixed. Consequently, the decisions that were cooperatively arrived at and mutually agreed to are looked at with appropriate thoroughness and frequency, thus making reasonably certain that the provisions of the plan will be applied effectively, that there will be appropriate adherence and conformity in the manner agreed upon as reflected by the plan, on the part of those who have been





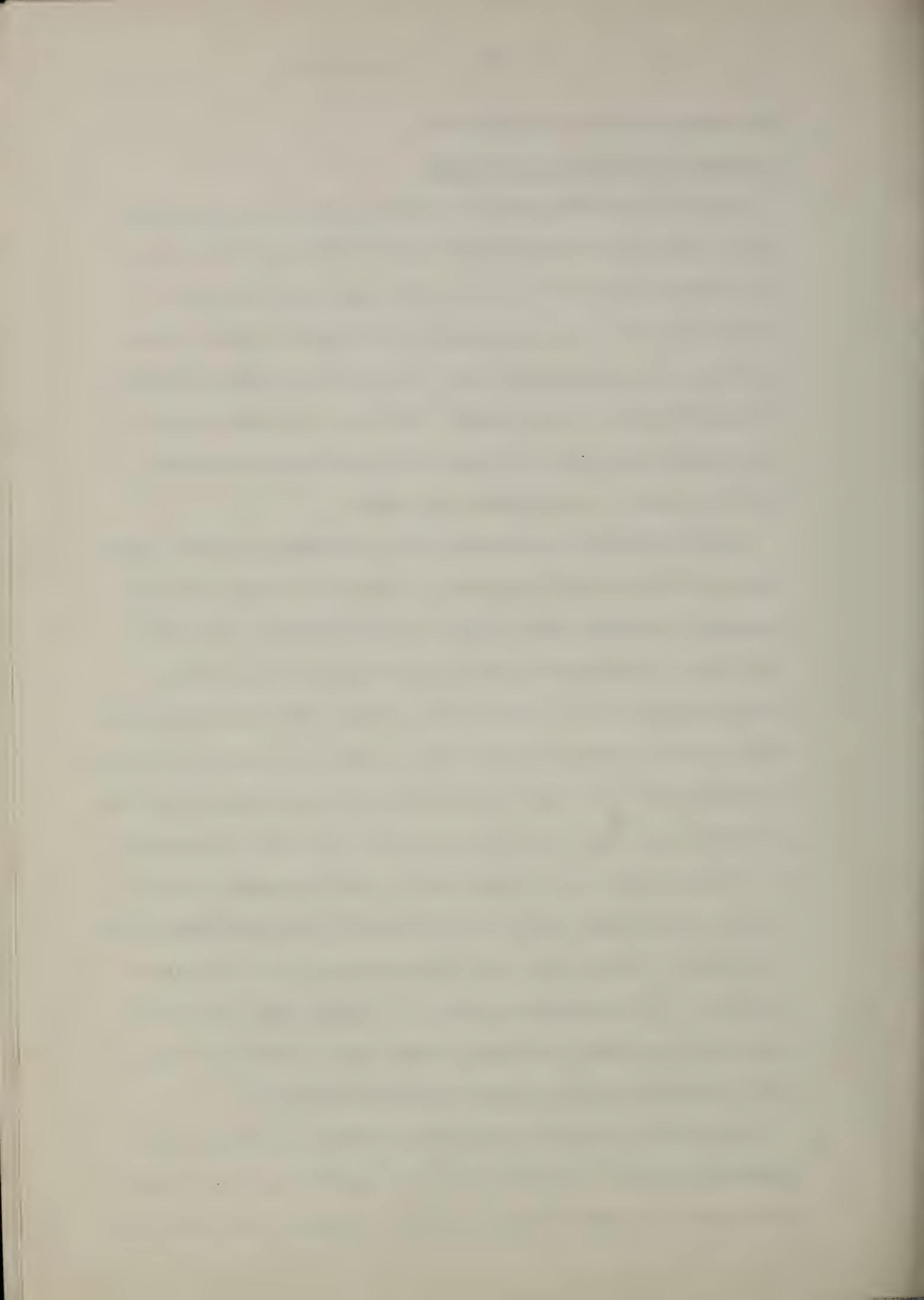
assigned individual responsibilities.

Systematic Inspection is Essential

We have previously pointed out some of the necessary things to do, some of the practices that must be followed, and some of the conditions that must exist in order that operations will be coordinated, and, as a consequence, acceptable results will be thereby more readily attainable. But it is not sufficient merely to prescribe these requirements. Nor is it sufficient merely to issue instructions and orders and rules and regulations with respect to policy and practice and method.

While these direction processes are absolutely essential, they represent only the very beginning. To consider that, once the necessary directions are issued, the operations to which they apply will be carried out precisely as directed in a grossly illogical presumption. For it is to presume that the instructions will be clearly understood and will be uniformly interpreted by all. It is to presume that each responsible individual will perform his part of the operation fully and effectively, that each one accepts the directions that were issued, that no unforeseeable circumstances will develop, and that the directions were infallible in the first place. Clearly, any such assumptions as these are never justified. It is necessary to check, to "go and look," to see if that which the people are doing is being done in the right way. This is accomplished through systematic inspection.

Inspections, properly conducted and utilized, produce many desirable results. Results which are so necessary that it would seem safe to say that the administrative function is not complete





in their absence. Inspections must be properly prepared for, must be carried on in the proper way by the right people, and the results must be utilized to the fullest and best advantage. The inspection phase of administration is so all important that it will be dealt with in considerable detail latter on. It is perhaps sufficient, at this stage, to emphasize that inspection is an essential requirement which the administrator must provide for if he is to coordinate and to control effectively the operations for which he is held accountable.

The activities of any organization must be well coordinated if they are to be carried out in an efficient manner. Every administrative component is present in the coordinating process. And any one of these components that is below standard may prove to be the weak link which, unless strengthened, may cause the others to be relatively ineffective or, in fact, may cause the others to deteriorate substantially.

#### THE MANAGER'S FIRST RESPONSIBILITY IS STAFF UTILIZATION

Every manager is responsible for the efficient utilization of all of the facilities assigned to him for the attainment of organizational objectives. The most valuable of all these facilities is, by all means, the people who make up the manager's subordinate staff. It is unwise, just poor business, to fail to utilize fully any facility. This is as true of people as it is of inanimate things. Mechanical equipment may be under-utilized with deterrent results measurable in dollars. The under-utilization of people results in a dollar loss, possibly a very substantial one, but there is another loss that



is of much greater importance, although seldom subject to precise measurement, yet may well be very material--the loss suffered by the individual.

When any manager does not fully utilize the capabilities of his people the quality of management in that organization is below standard in more than one respect. This is a subject that is so big, and so very important, that it justifies the fullest consideration. Our next item for consideration will relate to the numerous practices with which the capable manager must be entirely familiar in order for him to redeem his first responsibility. The responsibility for the effective use of his subordinate staff.





UNITED STATES DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

Personnel Division

Correspondence Course - MANAGEMENT PRINCIPLES & PRACTICES

SECTION 10

DEVELOPING AND MAINTAINING COORDINATION

Work Assignment

1. Describe three or four of the administrative practices you consider to be most essential to insure a state of effective coordination.
2. Describe three or four of the practices you are familiar with which you believe tend most to promote a lack of acceptable coordination.
3. Briefly explain the way in which faulty organization may influence the coordination function of the manager.
4. Based on your personal experience, are you familiar with a number of actual situations where failure to adhere to the chain of command produced results which clearly disrupted operations to a substantial degree? If so, briefly explain these situations without revealing identities.
5. Briefly describe several of the principal reasons why a manager should not devote considerable of his time to the handling of individual problem situations, to putting out fires.





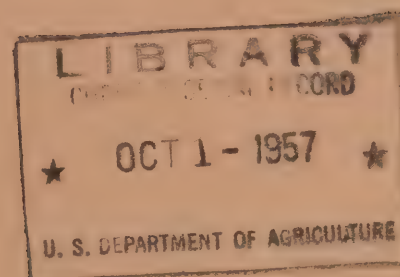




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SECTION 11  
EFFECTIVE USE OF THE SUBORDINATE STAFF

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SECTION 11  
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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 11

EFFECTIVE USE OF THE SUBORDINATE STAFF

In our previous discussions we have frequently referred to the staff segment of the organization as opposed to the line. In our discussion of this topic, the effective use of the subordinate staff, we will be using the term "staff" in its very broadest sense. As we will use the term here it will mean the entire immediately subordinate force. The force reporting directly to the individual manager. That force may include other managers, or administrators, or supervisors. This will almost certainly be the case with relation to those managers in levels above the first line supervisors. The subordinate force frequently includes officials in charge of line operations as well as those in charge of staff operations. This is almost invariably true at the upper administrative levels in organizations of substantial size.

Our observations then, will apply equally to any manager and the members of his immediate staff. This includes the first line supervisor, the administrative head of the organization, and all managerial officials located at any of the administrative levels between these two extremes.

It might be well for us to recall, once more, that no manager is ever more effective, or less effective, than his collective staff. The manager's success is measured by the success of his people. Their



contributions and accomplishments are his. Their failures are his. They share and share alike.

### THE MANAGER'S PRIMARY JOB

We have mentioned earlier that the three major functions of the manager are to direct, to coordinate, and to control. In the interests of clarity it is logical to consider separately each of these functions. But when we do this it is important for us to recognize that when anyone of these functions is performed the results always include some aspects of the other two functions. That is, all three functions are always present, in integrated form, in the performance of every administrative operation. Of course, the primary purpose of an administrative act may be to accomplish one of these three major functions. But in carrying out that operation it is inevitable that some of the results that are produced will relate to the other two major functions.

There are certain very definite, readily separated activities which have, as their primary purpose, the accomplishment of each of these major functions. It is important for the manager to be fully familiar with these specific activities, with the purpose each serves, and with the degree to which each is dependent upon another. The effectiveness with which each functional activity is executed has a direct bearing, in several respects, upon the dependent activities which must follow. This inter-relationship and interdependency is of so positive a character that one function may actually be the prerequisite of another. The first operation must be performed before the stage is set for the others that follow it. We will attempt to define some of the more important activities or processes which are inherent in each of the three major functions. And



• • •

we will attempt, also, to more clearly explain this characteristic of interdependency.

The Directing Job:

This function consists principally of the developing and issuing of policies, procedures, methods and practices which are designed to govern the mode of operation of the individual employee, whether he be a high level administrator or a non-supervisory worker. Certain of these instructions, rules, and regulations are, of necessity mandatory. And certain other ones are suggestive in character.

In some organizations it seems to be the unfortunate view that virtually every statement issued by "higher authority" must have mandate status. It is somewhat difficult to understand why such a viewpoint would exist. Apparently, the attitude prevails because the responsible people consider themselves capable of developing a rule which, if followed, will solve every possible eventuality. The undesirable consequences resulting from this malpractice are many. Perhaps a most unfortunate one is that the people being subjected to this type of "direction" are discouraged from demonstrating initiative. They may become virtual puppets, always looking for, and usually finding, a regulation for each condition confronting them. Or the more aggressive ones will take steps to extricate themselves from such an atrocious environment in which abilities are neither utilized nor developed.

Of necessity, instructional material issued by officials operating in line capacities is frequently in the nature of regulations which are mandatory. Issuances originating in staff units which are directed to the line for its guidance are of an advisory nature and have no positive command





force behind them. In spite of that fact, by virtue of recognition of the "authority of specialization," which the staff possesses, it is not unusual for virtually all staff suggestions to be accepted by the line. For the line recognizes the expertness of the staff and realizes the logic of utilizing this valuable asset.

But the line has the option of accepting or rejecting the ideas which are transmitted directly from the staff to the line. Of course, it is a standard and wholly acceptable practice for the ideas of staff officials to be injected into the line at appropriate superior levels and then transmitted down through the line to subordinate levels. When this is done the identity of the point of origin is, for all practical purposes, lost and the issuance takes on command status.

It might be well to mention right here that in some organizations it is the altogether too prevalent practice for certain staff units to issue mandatory instructions to the line. Naturally, this constitutes violation of a number of fundamental principles and always produces the exact results that we might expect. Conflicting instructions are as certain as day and night and their consequences are equally certain. Rather strangely the reasons for such conditions, in spite of their being so very obvious, seem to escape detection for substantial periods. And when the cause of the difficulty is recognized efforts to bring about correction are frequently so painfully slow that a major shakeup is about the only real solution.

While we mentioned earlier that the manager's function of direction is accomplished through a variety of definite processes we did not mean to imply that such processes always take the form of formal documented issuances. Periodic discussions between the superior and his subordinate, between co-workers, and between officers of the line and staff members



exert much influence upon the understanding of the individual as to the manner in which he is expected to operate. Meetings, conferences, workshops, and formal training programs represent other important directional media.

There is still another directional influence which is more important than any of the others. And that is the action of the boss. The example he sets by demonstration. By his mode of operation in his day-to-day association with the members of his subordinate group. Statements of policy and other directional documents may be worded in a most appropriate manner but are of little value if they are not carried out, if they are not adhered to. Actually, we are inclined to believe that such issuances, when they are disregarded to any substantial degree, are deterrents. They represent detrimental influences for the reason that the practice of non-compliance becomes contagious. A pattern of uncertainty is established which spreads rapidly. Those who are affected are faced with the problem of trying to determine which instructions are to be complied with and which are not. Their individual views and desires become the controlling influences rather than the expressions of higher authority which were prescribed with no positive insistence as to their adoption.

Entirely too many managers appear to entertain the view that they have completed their jobs when the directional phase has been performed, when an instruction has been issued for every conceivable item of business. They believe, apparently, that the directional phase constitutes the total management function. As a matter of fact, this is just the beginning. And it might be well to point out that when this attitude prevails it is almost inevitable that the organization is entirely too regimented. The policies



THE UNIVERSITY OF CHICAGO  
CHICAGO, ILLINOIS  
JANUARY 1, 1900

TO THE PRESIDENT OF THE UNIVERSITY OF CHICAGO  
FROM THE FACULTY OF THE UNIVERSITY OF CHICAGO

WE, THE FACULTY OF THE UNIVERSITY OF CHICAGO,  
DO HEREBY RESOLVE THAT THE UNIVERSITY  
SHOULD BE AGRUE TO THE PROPOSAL  
OF THE PRESIDENT OF THE UNIVERSITY OF CHICAGO  
TO ACCEPT THE OFFER OF THE UNIVERSITY OF CHICAGO  
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and instructions are too great in number, too specific, and too detailed. While it is important that all three of the major phases of the management function be accorded appropriate attention it may be necessary, at times, to sacrifice somewhere along the line. When that is true it is best to make the sacrifice in the directional phase rather than in the others. It is best to err on the side of too few rules and regulations than on the side of too many.

#### The Coordinating Job:

It seems unnecessary to elaborate upon this second phase to any considerable extent inasmuch as the function of coordination was discussed earlier in considerable detail. It might be well, however, to review briefly some of the highlights.

To begin with, we must have good communications in order to keep operations in a well coordinated state. And by communications we do not, of course, mean communicating facilities in the usual sense. We do mean, first of all, the required degree of recognition of the necessity for doing that which is required to see that there exists unity of purpose and unity of effort. We must see that every participant in the undertaking knows what he needs to know and, in addition, that which he wants to know what he has a right to know. We may not assume, with justification, that the character and extent of interrelationship and of interdependency between operations and between people will be understood, and accepted, and carried out. We must take action in a deliberate manner, to make certain that clear understanding by all is present.

It is necessary to give due consideration to all of the various inter-relationships in each phase of the undertaking. In the work planning phase in order that the work to be undertaken is possible of accomplishment with





the facilities available or obtainable. In the execution phase in order that the progress status of the operation may be known by all who need to know. And in order that all may benefit from the experiences of the remainder. This practice of full utilization of experience is particularly important with respect to the more serious problems that are encountered. They need to be analyzed carefully and logical preventive measures be decided upon and adopted, wherever applicable throughout the organization, in order to reduce the possibility of recurrence. All members of the work unit, or units, engaged on integrated operations need to be made familiar with the practices and the methods which have been determined to be particularly advantageous, in order that they may be generally adopted to the fullest practicable extent.

Among the normal administrative operations performed by the manager there are several which contribute greatly to the coordination process. Two of them, when carried out properly, are particularly effective. The two we refer to specifically are work planning and performance evaluation.

Work plans which are properly developed and effectively utilized exert an especially strong coordinating influence. In the process of plan development all of the people involved participate and thereby have the opportunity to become familiar with the work that is scheduled, the assignment of individual responsibilities, and the part that each will take in the conduct of the total operation. In carrying out the plan of work there will, of necessity, be periodic discussions for the purpose of comparing interim progress with interim objectives. And in the follow-up stage there will be periodic conferences in which a complete exchange of mutually required information will occur.



Basic to efficient performance evaluation is the development of a complete understanding between the subordinate and his superior. In order to maintain the type of relationship that is so necessary this clear understanding must be virtually continuous. In this process, considerable of the events occurring in the course of routine day-to-day association, the manner in which the individual employee is operating, come in for considerable discussion. Naturally, the employee's mode of operation is associated with the work and, as a consequence, the work itself receives a great deal of attention. Improper practices are brought to light. Outstanding accomplishment is revealed. And considerable worthwhile information is imparted by the superior with respect to operating practices in other units in which the subordinate is interested even though his responsibility does not extend to those operations.

Basically, the coordination function serves the primary purpose of maintaining a state of clarification in the interest of smooth operations. It is a preventive measure which, when effectively performed, avoids development of conflict, of costly delays, and other similar problems. In contrast, in the absence of properly coordinated conditions more difficulties are encountered and their correction requires the expenditure of more time, more effort, and the resultant accomplishment is of lower quality or lessened volume.

#### The Control Job:

The third major phase of the manager's job, that of control, is of such importance that it will be discussed later in considerable detail. However, it appears advisable to mention a number of the pertinent features at this time. This may result in some repetition but we are convinced that a





certain degree of repetition is well worthwhile.

In spite of the fact that the control function is so essential to quality management the perfunctory manner in which this function is performed, in many instances is downright alarming. The basic process in the control function is inspection. For some rather inexplicable reason there are numerous individuals who object to the term. They prefer to refer to the process as review or audit or something similar. It makes no difference what it is called. The procedure is the same and the results are the same. The important thing is to do the job.

The control function should not be looked upon as something different, something separate and apart. It should be viewed as a normal routine type of operation. Just the same as developing and issuing a procedure, a policy, or any other type of directive. It should be considered in the same light as any normal administrative or supervisory act because it is a component part of supervision, of administration, of management. For the control function to be considered in any other way is to admit conclusively that the management function is less than complete. It would be comparable to a fiscal operation in which none of the transactions was checked for accuracy or completeness. Or comparable to the activities of the major league baseball team in which no records were kept of errors, of hits, or of the scores of individual games. Under those conditions there would be much less opportunity for improvement for it is not probable that a deficiency will be corrected until the deficiency is revealed. And it is rather difficult to accord unusual efficiency the attention it deserves in the absence of knowledge of its existence. That is what the control function is for. To discover that which needs attention, that which needs recognition, and that which is acceptable just as it is.





The manager maintains some control, often to a substantial degree, in the day-to-day association with his subordinates. In the course of their discussions the boss discovers the true state of affairs and is able to take whatever steps are desirable and necessary as a result of this knowledge. The subordinate is able to obtain from his boss considerable of the information he needs to do a good job. And the subordinate is able, too, to impart information about the job and about himself to his boss. But the effectiveness of the control function in these casual contacts, which usually relate to matters of strictly current concern depends very largely upon the kind of relationship which exists between the boss and his people. For a number of reasons it is essential that thorough periodic inspections be conducted in order to cover the broader aspects of the operation. In order to make certain that basic objectives, and policies, and practices are looked into thoroughly and kept in line.

It is always possible, and usually desirable, for certain features of the control operation to be conducted by staff officers. This is especially true with respect to many of the technical aspects of the work. But this is only part of the job to be done. The responsibility for the control function should never be delegated to staff officers. They may perform part of the job as representatives of the responsible line officer but in the final analysis the responsibility is his and he must retain it.

The basic character of the control operation is quite simple. It consists of a comparison of actual conditions with those prescribed and the taking of whatever action is appropriate based on those findings. The subsequent action may, of course, be in the form of direction, or of coordination, or of a control nature. But the process to be followed is always the same.



The necessity for maintaining adequate control, for recognizing that it is an indispensable part of every manager's job, appears to be pretty obvious. For when control is virtually absent, or is appreciably inadequate, there exists assumptions which are wholly unjustified. The assumption that all instructions, all statements of policy, of procedure, of practice, are appropriate for the conditions to which they apply. The assumption that all prescribed policies and practices are understood, and are accepted, by the people who are held responsible for conforming with them. The assumption that the people responsible for carrying them out are capable of doing just that. And the assumption that the people responsible for executing the prescriptions of management will operate in accordance with those prescriptions. All of these things may not be assumed. These questions have to be resolved. And it is the responsibility of the manager to resolve them. It is not only his responsibility to his superior but to his subordinates as well. The manager is being unfair to his people if he fails to look into their operations and thereby determine what assistance and recognition they need in order to perform in a manner which is acceptable to them and to him.

#### FULL DELEGATION IS ESSENTIAL

It seems to be desirable to emphasize again and again, that the manager's job is to get things done through people, through the efforts of his subordinate staff. It is not the manager's job to "do" these things himself. With but negligible exception, everything the manager "does" is for the purpose of facilitating the "doing" on the part of his subordinates. When a manager does a good job of selecting, of developing, and of utilizing a competent staff he has done his job completely. When a manager does a





less than acceptable job of selection, a less than acceptable job of development of his people, and a less than acceptable job of utilization of the abilities of his people, he has not been successful, regardless of the volume or quality of work he performs personally. The manager's demonstrated competency in some other scientific, professional, or technical field is no criterion with respect to his competence as a manager.

It becomes evident then, that a full time manager must delegate to his subordinates all of the work functions of the organization for which his unit is responsible. The manager must delegate all of these functions not just part of them. He retains for himself all of the truly management responsibilities, he delegates none of them although he may and should temporarily assign some of these responsibilities to his subordinates.

#### Delegations Must Be Complete:

To begin with, all delegations to subordinates must be complete. The responsibility for doing the job must be completely delegated and the necessary authority must be provided at the same time. The extent and character of authority that is delegated is determined by the requirements of the operation for which the subordinate is being held responsible. But no individual can be held responsible for anything over which he does not have adequate authority.

It is often most disturbing to observe the tactics of some managers in this respect. Those who imply rather vaguely to one of their subordinates that he is expected to accomplish a certain result within certain time limits. The manager then proceeds to delegate the same operation in the same vague way to another subordinate, or in extreme cases to a group of subordinates. Each one has the impression that he's expected to do





something, although he's not absolutely certain just what that is, and he's not certain either as to what authority he has if any. Under such circumstances the way the individual will operate will depend considerably upon his general makeup. If he's the aggressive type he may go way beyond what the boss had in mind. If he's a timid soul he will be inclined to fail to get started before the time runs out. This sort of thing is drastically unfair to all who are involved. And to permit it to occur more than once is clear evidence of dereliction on the part of someone. And that someone is not only the manager responsible for it but his boss as well.

We have no intention of indicating that the same degree of responsibility and authority should be delegated to each subordinate even though their jobs are comparable in all vital respects. When appropriate, delegations to individual subordinates should be made on a preferential basis. Of course, the individual members of the subordinate force never possess experience and other qualifications which are identical. It is not unusual for individuals occupying virtually identical assignments to possess qualifications which are radically different. This is particularly true when an employee is first promoted or transferred to a new job. When that happens he usually finds that his co-workers at the same responsibility level have more experience with relation to their current assignments than he has. Sometimes, the variation in experience and other general qualifications is very substantial.

In cases such as this the manager needs to recognize these differences and govern his delegations accordingly. It is appropriate for him to give the less experienced subordinate somewhat less responsibility and somewhat less authority than in the case of the more experienced subordinate even though both are engaged in the same type of activity and



occupy positions at comparable administrative levels. Of course, as additional experience and job familiarity are acquired, delegations should be expanded so that there exists a commensurate relationship between the qualifications of the individual and the delegations to him.

Delegations Must Be Clear:

Delegations must be clear to the subordinate and to his boss. And they should be clear to each other member of the staff whose operations are to any degree related or dependent. The subordinate must understand just where his responsibility starts and where it ends. He must know when he has full authority to act and when he is required to obtain the approval of his superior.

All such delegations should be reviewed thoroughly with the principals involved. And then the delegations of a major nature should be documented in order to minimize, all possible, the opportunity for misunderstanding. This is something which is of particular importance. There should be no doubt in the subordinate's mind as to what he is responsible for and what he is authorized to act on independently. And his understanding should be in complete agreement with the viewpoints of his boss. It takes little imagination to recognize what is certain to happen if the subordinate entertains any question on these points. When he is uncertain he is compelled to give a great deal of attention to the process of determining what he should do and what he should not do. When he is spending his time on this sort of thing his efforts are less than fully productive. Of still greater importance is the detrimental influence upon his general level of performance by reason of this uncertain state of mind. The inevitable price that is paid for delegation vagueness is by no means trivial.





It is frequently necessary for the manager to amend or to withdraw certain delegations. Withdrawal may be in whole or in part depending upon the individual circumstances. When the propriety of this type of action develops the important thing is that the withdrawal or the revision should be accomplished promptly. And it should be accomplished with the same degree of formality and completeness as that prevailing in the original granting of the delegation. But this is not all that needs to be done. The reasons for the action should be clearly explained to the principal. And at times there are others who need to be given the same information.

Delegations Must Be Respected:

Here is where the manager has the opportunity to display with considerable finality whether he is actually a manager or is one in title only. He has the chance to demonstrate, by action, whether he understands that his job is to bring about accomplishment through the efforts of his subordinate force. It is an area which seems to cause a great many people a great deal of trouble. But the trouble it causes the manager is of little consequence in comparison with the difficulties it imposes upon the people who look to him for leadership.

Those who seem to experience the most difficulty may do a reasonably good job of delegating, verbally or on paper. But they seem to think that there is danger of giving something away. They tend to retain a hold that is entirely too firm. Sometimes they literally refuse to let go even though they said they would. This type of individual appears to think that he needs to know all about all the trivial details of all of the operations of all subordinates. In his attempts to know everything about everything he dabbles in just about everything that the subordinate does, or tries to do. Then, the manager is not managing. He is meddling.





The results are the opposite of those actually desired by both parties. The subordinate is seriously handicapped in trying to carry out the job assigned to him. He has to try to be content with accomplishment below that of which he is capable. And very soon he will experience some degree of frustration for he cannot help wondering, and why shouldn't he, whether his boss has confidence in his ability to do his work. Possibly the boss thinks that he would suffer a loss in prestige if he permitted the subordinate to do his job without interference. Actually, the reverse is true. The boss would gain prestige, in the eyes of both his subordinate and his superior, if he leaves his people alone long enough for them to have a good chance to do what they are supposed to do. The quicker this is realized by this type of individual the sooner he will gain the full support and respect of a competent staff.

#### THE ABILITIES OF SUBORDINATES SHOULD BE FULLY UTILIZED

It is so logical to do just this that it might appear to be a waste of time to talk about it. But some of the conditions which do exist would seem to justify, without question, the need for some consideration.

The subordinate staff represents the primary facility, the primary utility, the major resource by means of which the manager gets done what he is supposed to get done. It is the manager's job to utilize that facility and to utilize it fully. We might draw a comparison with any other facility that is needed to get a job done. Is it logical to purchase an expensive piece of equipment and then proceed to utilize it only to the extent of a small percentage of its capacity for production? Is it good business to use a five-ton truck to haul around a crate of eggs? Would the manager of the



New York Yankees baseball team be doing a good job of managing if he permitted Mr. Mantle and some of the other good boys to spend any appreciable part of their time on the bench? It is doubtful that anyone would answer these questions affirmatively. It is a condition that is just as logical when the capabilities of subordinate staff members are less than fully utilized.

What are some of the conditions which indicate that the subordinate is not contributing all of which he is capable? What are some of the practices that need to be recognized and avoided? And what are the practices needing adoption? The most flagrant example is that of the "yes" man. Usually, the yes man is that way for a very definite reason. He thinks his boss wants to be agreed with. That the boss is resentful of anyone who disagrees with him. And there must be a pretty good reason as to why the subordinate thinks as he does. Isn't it because the boss has demonstrated that that is the way he wants things to be? But the results of such a condition are the things which we need to be concerned about. When everything the boss says is accepted just that way then there is only one mind at work. And there are several minds not in production. It is seldom, if ever, that the contributions of the boss alone can even begin to compare with the contributions of which a fully competent and experienced staff is capable. The subordinate is in a tough spot. But the boss is in a tougher one. And he needs to take a good look at himself. For if he doesn't he may have a competent superior who will soon be doing just that.

#### The Opportunity for Individual Accomplishment:

Every employee, no matter who he is, wants a fair chance to accomplish something on his own. He wants work accomplishment, the result of which is frequently referred to as job satisfaction. It is probable that this





requirement ranks highest, above everything else, among the needs of the majority of people. It is probable too, that this need is greatest among those who are most competent. When it is not present on the job, they will look elsewhere for it. Or they will look for another job which provides it. The manager has the same need. And when he arranges for that need to be met, on the part of his subordinates, then the manager's need is also fulfilled. But these results are not possible unless the subordinate employee is given reasonable opportunity, through delegation, to go ahead on his own. To show the character and the extent of his capability.

Managerial practices in this regard vary from one extreme to the other. There are those who think, or at least their actions would indicate that this is the way they think, that they need to be familiar with every detail and they need to be more expert than their people in performing every one of these little details. It is not difficult to identify this type. Whenever his boss inquires of him about any feature of his operation he always has the answer. Or at least he always gives an answer and many times it is the right one. And he's very displeased with himself when he is unable, personally, to answer any question put to him by his boss or anyone else. When this sort of situation is encountered it is a real danger signal. It is an almost infallible indication that this individual's performance, as a manager is well below par. He is in need of a great deal of help.

At the other extreme, and this is the one we are looking for, is the individual manager who seldom has the answers which should properly be provided by members of his staff. This individual consciously sees to it that the prerogatives of his people are respected and that they are given every opportunity to demonstrate their knowledge of their work. Many times the boss will be fully capable of giving the right answer but he wants





his people to get the full credit to which they are entitled. And he recognizes that the way to develop them, and to build up their confidence in themselves, and their respect for him is to give them every chance to demonstrate what they know and what they can do.

One of the bosses we once had the pleasure of working for invariably handled this phase of his responsibility in an admirable manner. Whenever he was asked a question about something which was the primary responsibility of a subordinate he would always say, "Let me call in my brains. They are the experts so let's let them give it to us straight." More often than not this fellow knew the right answer. But he also knew something much more important than that. He knew how his people should be treated. Needless to say, there was never any such thing as a morale problem in that outfit.

#### Full Development Requires Full Utilization:

We have already mentioned that the subordinate staff is a facility, a resource, to be used and to be used fully. And that the responsibility for doing just that rests with the manager. But the benefits from full utilization go far beyond the production, the work accomplishment that represents the immediate result. Full utilization is essential in order to bring about the full development of the individual.

When the employee is held back, when he is permitted to operate, for any appreciable period of time, below his capacity his growth is retarded. This state of suppression may occur because of less than competent leadership. Or it may develop because the individual has outgrown his job. When that time comes and he is compelled to operate below capacity he is deprived of an essential need, of a sense of full accomplishment in his work. When that happens he suffers a severe personal loss and that loss is shared

1. The first part of the document discusses the importance of maintaining accurate records of all transactions and activities. It emphasizes the need for transparency and accountability in financial reporting.

2. The second part of the document outlines the various methods and techniques used to collect and analyze data. It includes a detailed description of the experimental procedures and the statistical analysis performed.

3. The third part of the document presents the results of the study. It includes a series of tables and graphs that illustrate the findings of the research. The data shows a clear trend of increasing activity over time.

4. The fourth part of the document discusses the implications of the findings. It suggests that the results have significant implications for the field of study and may lead to further research in this area.

5. The fifth part of the document concludes the study. It summarizes the main findings and provides a final statement on the importance of the research.

in a substantial degree, by the organization.

If the situation continues too long the individual, unless he is able to offset the deficiency in some other way, will certainly be inclined to go stale. Probably each of us is a good enough engineer to know what happens when some facilities are used below capacity, when they are placed in storage. The result is greater and more rapid deterioration than would occur through use. This same result is experienced by people when they are subjected to the same kind of treatment.

#### The Staff Must Participate Fully:

In order that a manager may perform in a competent manner he must establish the sort of climate which will insure the subordinate saying what he thinks rather than what he thinks the boss wants him to say. The administrator is using his subordinate staff to the fullest advantage only when his people freely and voluntarily provide him with their thoughts, their ideas and their suggestions. As we said before, every superior officer must recognize that the collective knowledge of the members of his staff is, with but few if any exceptions, much more valuable than the knowledge he alone possesses. That value may be in the ratio of one to the number of subordinates or it may be somewhat lower or possibly even higher.

Unfortunately, some managers seem to think that gripes and grievances represent undesirable attitudes, represent something that they hope will not happen. And when they do happen the individual resents their happening and usually will not face up to them. It is seldom that any gripe or complaint or viewpoint which is in conflict with the thinking of the boss, which reflects the sincere convictions of the author, does not represent something which is valid and of some value. Something which the organization cannot afford to do without.





Criticisms are valuable commodities. They are things that need to be encouraged and those who offer them need to be rewarded. Criticism and disagreement are the fundamental bases for improvement and progress. We need to be concerned, deeply concerned, about the way in which a unit is being managed when the members of that unit are not openly critical, to their superiors, about the way things are done. The manager who evidences resentment toward sincere criticism by a subordinate is evidencing something else. Rank amateurism. He is discouraging that which he really wants and badly needs. He is erecting a barrier, which will tend to approach a state of imperviousness, against the flow of expression by the staff on which he must lean in the mutual effort to go forward.

The Employee Should Not Have To "Prove" Himself Again and Again:

It is not unusual for reorganizations, transfers, and the like to result in an employee serving under several superiors during anyone appreciable period of time. Naturally, the superior cannot be thoroughly familiar with the capabilities of each subordinate until they have worked together for some time. Some managers appear to think that they must be intimately acquainted with a subordinate before it is possible to determine what he is capable of doing, before much confidence can be placed in him. It is hardly necessary to point out the impropriety of this attitude. Or to mention how extremely unfair it is to the subordinate.

Under such circumstances the "old guard" always has the inside track over the newcomer. The ones the manager knows are likely to get the breaks, the desirable assignments and the promotions. Even though the recent arrival may be fully well qualified, and his true qualifications may be clearly reflected in the record, he fails to get the recognition that he is actually entitled to. And if he gets caught in this sort of situation very





many times he may have to spend a considerable part of his career proving himself over and over again. Sooner or later this may become rather tiresome, and not only that, but the individual is prevented from attaining the heights of which he is capable. Again, for the same reason we mentioned earlier, these experiences may well have a deteriorating effect.

Instead, the manager should be guided by the subordinate's record of experience, education, prior accomplishments and assignments, and the other elements which reflect his true qualifications. After all, the past record of an experienced employee will certainly be much more accurate than the opinions of any one individual, particularly if those opinions are based on an association covering a very limited period of time. Certainly, no official is justified in operating on the theory that a new experienced employee should be required to always prove himself, required to prove over and over again what has already been proved before. The validity of this viewpoint should not be difficult for any manager to recognize. About all he has to do is to decide honestly whether or not he would appreciate being subjected to the same sort of unjust treatment.

#### THE BOSS-SUBORDINATE RELATIONSHIP MUST BE RIGHT

In order to get maximum results, the kind of results everyone is presumably looking for, the superior and subordinate must operate as one man to another. There seems to be no reason why they should operate otherwise for that is exactly what they are. And it is well for both of them to recognize that the superior is only organizationally superior. He may, of course, be superior to the subordinate in some specific respects. But the chances are excellent that the subordinate is superior to his boss in a number of respects, too. Certainly, it is a normal condition for the subordinate to be more capable in his specialty than is his boss. If that



is not true it is almost certain that the boss is entirely too concerned about one specialty and is not giving enough attention to the others for which he is supposed to be responsible.

How many times have we heard an official admit, often only when he was forced to, that he found it very difficult to face up to the job of confronting one of his subordinates about something which badly needed attention? When that is the situation it is clearly evident that there did not exist the proper relationship between these two people. Certainly, if the matter was of great concern to the superior its concern to the subordinate was at least equal and possibly greater. By holding back on the doing of something that it was his responsibility to do, the boss was failing to perform an important part of his job. But of still greater importance, he was being unfair to the individual occupying the position of principal in the case.

Too often, it seems, conditions such as this one exist because a superior did not set the stage for an eventuality which is always possible. There is one safeguard that always should be taken to prepare for a situation such as this. It should be done at the very beginning of the association between the superior and the subordinate. At that time it may appear to each of them to be highly improbable that the time will ever come when it will be necessary for the superior to dig into a serious situation in which the subordinate occupies a major role. Possibly they are old friends and for that reason there seems to be no necessity for establishing the kind of relationship we're talking about. But that's all the more reason they should do just that. The thing for the manager to do, always, is to start developing right at the very beginning, the kind of relationship that is needed. The kind of understanding between them that will make it readily possible for them to deal with issues as they arise, regardless of how serious the





situation might be. It's a practice which constitutes good insurance which will pay fine dividends when the time comes. It's rather similar to the question of whether or not it is advisable to carry hospitalization insurance, or to carry a spare tire in the family automobile. Neither one may ever be needed. But on the other hand they may be and if a need does arise you are then prepared for it.

Be Frank and Forthright:

The kind of relationship that exists should insure a complete and unrestricted understanding between the boss and the subordinate. Each should feel perfectly free to express his views clearly and completely to the other. And each should demonstrate, by action, that that is the sort of treatment he wants from the other. If this condition does not prevail the relationship is not an acceptable one. And when it is not acceptable the chances are about ten to one that the cause rests with the supervisor. Possibly he shows his resentment when the subordinate disagrees with his way of thinking. If he does, he is faced with only two alternatives. One is to correct his attitude and the other is to get into a job where he is not responsible for other people. The manager should welcome disagreement. He should be concerned if he doesn't get it. For if he is adequately intelligent for his job he will recognize that with invariable acquiescence and agreement on the part of his people he is getting little of the help they are in a position to give him. He is then stuck with his own ideas alone and that is a pretty sad state of affairs.

The manager must trust his people. And they must trust him. Each must evidence this confidence in the other by demonstration, by his actions. For when this condition does not exist there cannot be freedom of expression. And the consequences will be reflected in the efficiency of both, to the





detriment of both. Whenever either has good reason to entertain a feeling of doubt with respect to the other, in connection with their official relationships, then is the time to clear up the question and to clear it up completely.

### The Manager Must Know His People:

That philosopher we often refer to once said, or should have said, that the manager who doesn't know his staff doesn't know his stuff. And when he used the word "know" we are confident that he referred to more than the name and the face and the record. He meant that the manager should really know his people. Know them as individuals. Know what they think and how they think. Their ambitions and their interests. What they think about their work and the outfit they work for. Something about their outside interests and their home life.

No manager can know these things if he limits his associations with his people to the times and places dictated by the official requirements of the organization. He has to get around and see them often enough. He has to do this deliberately. He should, because it's part of his job, an important part. Should the boss drop in only when he has something official to take up and then always in a big hurry, his people will begin to think that he is interested only in the work and not in them. And they probably would be about right. And whenever he did show himself they would be on the defensive and would be wondering, "What is wrong now?"

Some of us might be inclined to think that this idea is all right where it is convenient to stop in at the subordinate's office or drop in on his work project. Where the proximity of headquarters will permit this sort of thing. But our organizations are different. We have a great many people who are headquartered at considerable distances from us. If we spent our time



traveling around just to see them we wouldn't get anything else accomplished. Is there any law against taking a little time now and then and dropping them a rather unofficial note in which you would cover some of the same things you would talk about if more frequent visits were possible? A little time spent in that way is time well spent.

#### Praise and Censure When Deserved:

For some reason which almost defies logical explanation, some people seem to think that the only time the quality of a subordinate's work should be discussed with him is when something is wrong, when some corrective measures appear to be necessary. In the same category is the apparent belief that a great deal of attention should be given to what is referred to as disciplinary action. And disciplinary action seems to mean some sort of penalty.

Disciplinary action needs to be administered rather continuously. Because disciplinary action includes acts of commendation and approbation as well as the administering of penalties in one form or another. Actually, discipline has one basic purpose. To bring about improvement, in one form or another. Increased knowledge, the identification of conditions which are desirable and those which are not, the acquiring of certain proficiencies in varying degrees, the establishment of views, attitudes, habit patterns, and the like. The basic purpose on which any form of disciplinary action is founded is always about the same. And that is true regardless of the form the discipline takes. It may be recognition and praise which is often referred to as favorable disciplinary action. It may take the form of reprimand or the imposing of other penalties ranging from those of a relatively minor nature to the type which is, in anyone's language, pretty drastic.





We have already established that discipline has one major purpose. To bring about results which represent, by comparison, some form of improvement. The big job of the manager then, is to decide upon the form of discipline, of disciplinary action, which will produce the results desired. It is very apparent, of course, that the same kind of action will not produce the same results under the great variety of conditions which are bound to develop. The manager needs to recognize this. And he needs to recognize that most people respond in pretty much the same way, to certain kinds of treatment they receive. Of course, most managers are not trained psychologists and are therefore not familiar with all of the refinements relating to this tremendous area dealing with individual responses to stimuli. But certainly he should be able to analyze, with reasonable accuracy, his own reactions. And if he continues to remember that his people are very much like he is, in this respect, he will have little difficulty in determining the course of action that is most likely to produce the kind of result he is looking for.

Improvement in individual performance is brought about through deserved recognition and commendation as well as through other favorable acts which may take anyone of a variety of forms with which we are all familiar. It is a major administrative function to evaluate subordinate performance and to take such action as is appropriate based on the findings of that evaluation. Certainly, the things that the better than average employee does that entitle him to favorable recognition exceed the things that he does wrong, the things which call for corrective measures in some form. However, in spite of that so obvious fact, there is often the strong tendency for the manager to show concern only about those conditions which fall below the standard. There seems to be the strong tendency, too often,





for him to take action, disciplinary action, with respect to the things which are substandard, with comparatively little attention given to the above-standard conditions, even though the latter may dominate. This practice needs to be reversed. This is true for a number of reasons, most of which are well established.

The normal individual reacts more favorably to praise than he does to censure. Many individuals resent criticism, particularly improperly administered criticism, and the results of such action may well be the opposite of those desired. Too, it is a well established fact that the focusing of primary attention directly upon deficiencies is often frustrating and frequently is an ineffective form of treatment. It is equally well established that the further development of already possessed virtues is often an effective way to bring about deficiency improvement. It should be very obvious then, that generally the manager needs to devote more of his time and his action to the things his subordinates do well rather than those things they do wrong. And, of course, there is another good reason why the subordinate needs to have a complete understanding as to what the boss thinks about his work. When the subordinate entertains any doubt in this regard he cannot operate with full efficiency. And that is something the boss wants. This is a mutual objective.

When and how often should the boss administer these two types of discipline, the favorable and the unfavorable? The answer involves two considerations. When it is deserved and when the action will produce appropriate results. By all means, it may never be presumed that any staff member will accurately appraise his own performance, his own situation. The boss has to tell his people how they are doing. No one else can do this job for him. A clear understanding between the boss and his



individual staff members needs to exist continuously. The appraisal of the subordinate's work needs to be virtually continuous. We do not mean to say, of course, that once a day or more often the boss should tell the subordinate how he's doing. But it is evident that this clear understanding needs to be established and maintained in the course of routine association on the job. And it needs to be reaffirmed, in a somewhat formal way, at periodic intervals. The frequency will be influenced by a number of factors including the frequency of personal contact, the individual temperament, characteristics of the two principals, and the like. Certainly, under normal conditions, intervals longer than a year would seem to be too infrequent.

In many respects the two forms of disciplinary action, favorable and adverse, are very much alike. But in one respect there is a very definite dissimilarity. This has to do with the manner in which the discipline is administered. It is generally believed, and it is probably true, that the best results will be obtained from favorable action when it is administered "in public." The basic consideration is, of course, that people like to have others aware of the good things about them. And for the same basic reason reprimands and other forms of adverse discipline should be administered in private. Most people do not want others to be familiar with the undesirable things about them and resent any disregard for this sort of consideration, to which they are fully entitled.

EFFECTIVE USE OF THE STAFF INCLUDES THE  
DEVELOPMENT OF EACH MEMBER

One of the primary responsibilities of the administrative head of every organizational unit is the training and development of each individual staff member. There seems to be little need for justifying that statement.





As we have said many times the subordinate staff represents the manager's major resource. And how efficiently the manager carries out his function depends upon how effectively that resource operates. And how well it operates depends upon the proficiencies of the individual members comprising it.

The individual employee deserves the consideration and assistance required in order that he may perform efficiently on his present job and in order that he may qualify himself for more desirable assignments. He recognizes that this is what he is entitled to and, accordingly, this is what he wants. And when he receives reasonable consideration with respect to his desires he is, by virtue of that fact alone, more efficient. The rest of the equation is that when he does not receive this consideration, his efficiency is impaired.

#### A Career Plan for Each One:

The training and development of each subordinate employee is, in many respects, very similar to other managerial functions. In order to produce desirable results the operation must be planned. The responsibility for developing and for carrying out these plans does not rest solely with the boss or solely with the subordinate. As is true of most everything else connected with their official activities, this is a mutual responsibility.

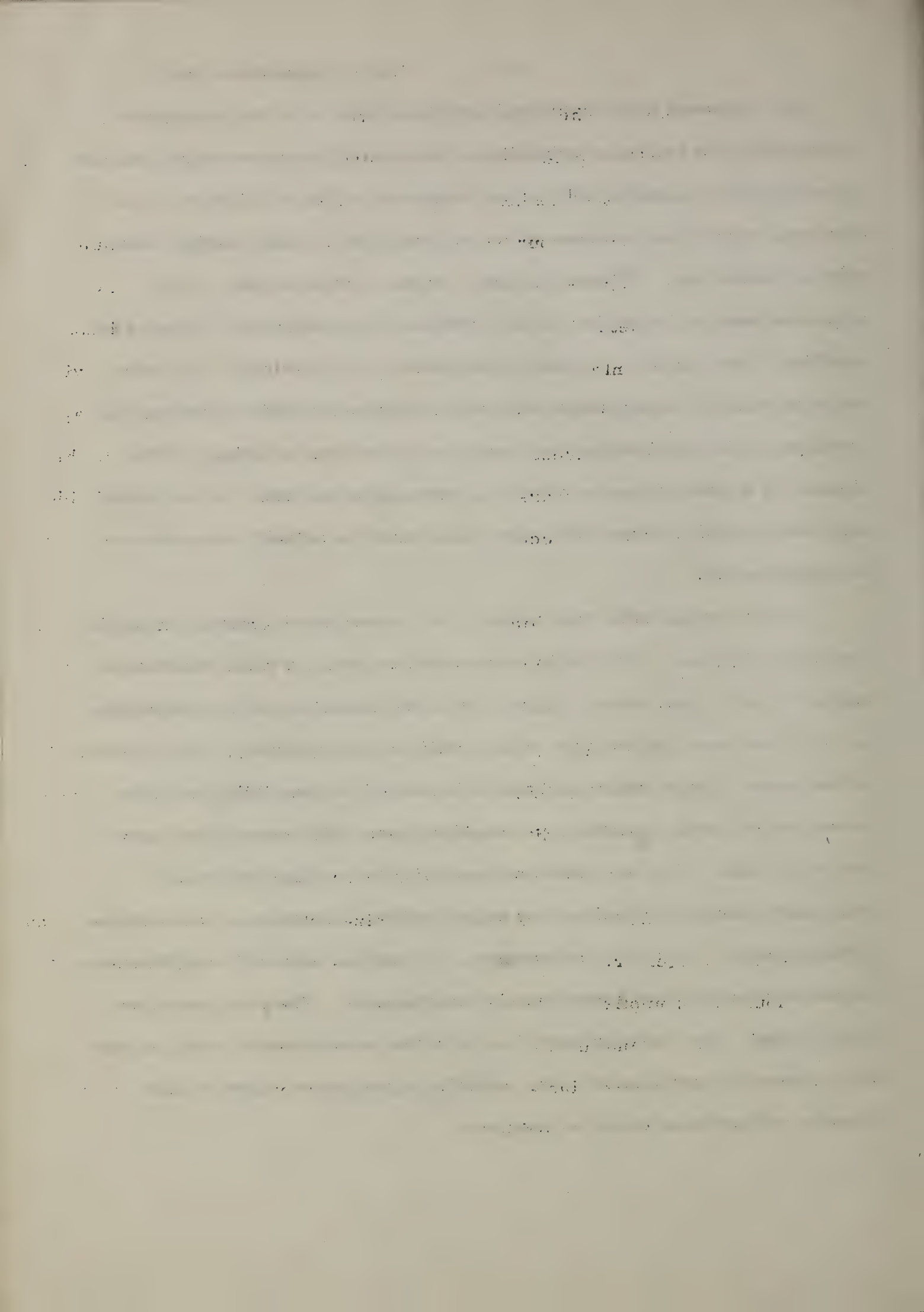
Every individual employee entertains certain career objectives. The first concern of some individuals may be a living wage coupled with reasonable security for himself and his family. Others may want to become recognized authorities in certain specialized fields. And still others may want to attain certain kinds of achievement which are rather vague, even to them.





But whatever these individual ambitions are, it is the manager's responsibility to help each subordinate formulate his career objectives and to provide all reasonable help in the attainment of those objectives. In this way, appropriate courses of action, including specific assignments, may be worked out. Without this help, on the part of the boss, the employee may set his sights on an objective which he has little chance of reaching. And unless the manager possesses this knowledge, it is virtually certain that assignments will occur which offer little in the way of development in the direction the employee is desirous of going. In the absence of a planned course of action, mutually conceived, the individual will feel compelled to accept assignments which he actually considers to be objectionable.

Once a logical individual career plan is developed it should be sufficiently formalized. Sufficiently documented to insure a clear understanding on the part of all who may take part in its execution and to provide the further assurance that the plan will be utilized appropriately. The individual employee should understand that it is his full responsibility to make known any personal conditions or considerations which necessitate revision of the plan. And the same responsibility for making known any necessary changes, occasioned by organizational influences or convictions of the manager, rest with the manager. Of course, any such modifications should be promptly and appropriately incorporated. The plan should be kept current. And the plan should embody the same desirable characteristics inherent in any plan of work, including appropriate follow-up and interim evaluation to check on progress.



The Opportunity for Initiative:

Each subordinate staff member should be given as much "free rein" as is desirable and practicable. He should be given full opportunity, and be encouraged, to develop and try out his own ideas provided, of course, they are within the limitations imposed by current policy or regulation.

Most individuals respond favorably to the opportunity to exercise individual initiative. It is natural for subordinates to take more interest in their work when they feel that they are not being suppressed, that they are not being unduly restricted, and when they clearly understand that their views are wanted and are needed. They need to have the opportunity to make individual contributions. And management needs all of the contributions each worker is capable of providing.

People learn considerable, and they learn quickly, from the errors they make. Those who pride themselves on making no errors are the ones who have few new ideas and contribute little to improvement and progress. The boss is no exception in this respect. The administrator who constantly strives for what he calls perfection never attains it and his unsuccessful efforts to achieve the unachievable exert a most disturbing influence upon his staff members. It seems that perfection, in the mind of this type of manager, is nothing more than his own individual ideas of how everything should be done. With this sort of an attitude he fails to realize that his subordinates are, with the exception of isolated instances definitely in the minority, better qualified than he is to do their specific jobs. A manager with this sort of an attitude is characterized by his practice of almost invariably making minor changes in the results of the efforts of his subordinates. And it is not unusual for his changes to produce results that are less acceptable than those which existed before. This type often fails to





realize, apparently, that his "insistence upon perfection" produces effects which are harmful, which are deterring. His subordinates tend to lose their initiative and finally, out of desperation, may try to do the impossible, try to produce what the boss wants rather than the results dictated by logic, propriety, and the standards which have been prescribed. It would seem to be helpful to everyone if each manager fully comprehended that no two people do the same thing exactly alike. It would be equally helpful for each manager to recognize that the occasional passage of what may appear, right at that time, to be a minor mistake is just good sound management.

#### Help Him Get Ahead:

Even when people are given every consideration, and assistance, and encouragement, to develop themselves for better jobs, it is not unusual to find that their ceilings cannot be reached in their present work situations. Characteristics which are inherent in the work or the organization prevent advancement to the degree of which they are capable. When this situation develops management should help them move on.

The administrative practice which holds back, or attempts to hold back the deserving and qualified subordinate just because the administrator wants to keep from losing him, can be classed only as an administrative atrocity. It is a vicious practice which no management can afford to follow or to tolerate. When such a practice as this is allowed to exist the term management is one that is incorrect to describe the responsible administrative force. Mismanagement is the term that is appropriately descriptive.

No manager should find it difficult to recognize the propriety of the standard practice of helping qualified employees advance to better jobs which the current organization cannot provide. Nor should there be any





difficulty in identifying the advantages, not only to the individual, but to the organization as well. Many such individuals will remain with the organization in the hope that suitable opportunities will develop later on for they consider it to be a good outfit to work for. Those who do move on will be strong supporters of the outfit that helped them get ahead. And the beneficial results of the practice will permeate the entire organization. In those organizations where this is a standard practice difficulty in recruiting is seldom experienced. For virtually every member of the organization is a recruiter and an effective one.

And no manager should find it difficult to realize the unfairness, the impropriety, of holding back a subordinate who is qualified for and is entitled to advancement. Even though assisting in attaining that advancement means that the organization will "lose" this employee. All the manager has to do is to answer one question, honestly. Would I like to be treated the same way?

#### Extend the Employee:

Occasional assignments, for temporary periods, to more responsible jobs is one of the best ways to broaden an employee's experience. Obviously, such increases in responsibility need to be administered with judgment and moderation. Such assignments should be just difficult enough, in comparison with the regular job, to require that the employee extend himself somewhat in order to do an acceptable job. But in the judgment of the manager, the increased responsibilities should be well within the limits of capability of the individual. The new assignment should represent a little greater challenge, should require a little more effort, than the current job.

Every manager has full opportunity to put this practice into effect. All he has to do, and it is good business for him to do it, is to turn over



his job to a subordinate for a specified period of time of sufficient duration to give the subordinate a fair chance to show what he can do. If the "acting" boss does a better job than the regular one, it is not positive assurance that he would always do better under all circumstances. It is, however, some indication that he may have what it takes to handle successfully an administrative assignment at that level. Or, of equal importance, these temporary assignments may disclose that there exists serious doubt as to the ability of the individual to assume this degree of additional responsibility. Or it may be discovered that the employee is insufficiently interested in this line of work for him to hope to experience normal advancement in that direction. In any event, the knowledge thus acquired is valuable. And it should be utilized fully.

No manager should ever be permitted to hold back a subordinate merely because the manager is afraid the subordinate will show him up, possibly take his job away from him. It is to the distinct credit of a manager when his people advance to higher levels, even to levels higher than that occupied by their boss. This is conclusive proof that the manager has been highly successful in carrying out one of his most important functions, that of developing his people.

#### THE MANAGER'S ATTITUDE TOWARD HIS JOB

Normally, it is most unusual for an administrative official, especially in the upper levels, to be responsible for but one major function. Usually, he has the responsibility for the handling of several functions, three or four or possibly as many as eight or ten. It is seldom that the manager has any vast amount of experience in each one of the functions for which he is held accountable. He is seldom a specialist in each of them. And there is no particular reason why he should be such a multi-specialist.





In fact, there are a number of good arguments why he should not be. It seems well for us to remember, as well, that even though the manager is intimately familiar with many of the details relating to one or more of his functional operations, at the very beginning, he cannot be expected to maintain this degree of familiarity for very long after he assumes overall responsibility for a number of other functions. Any evidence of circumstances seeming to indicate that he is attempting to maintain, or is maintaining, such a degree of intimate familiarity is definite cause for concern.

Properly Distribute Interest and Effort:

As we mentioned before, it is by no means uncommon for the average administrator to be rather thoroughly experienced, often a recognized specialist, in one or possibly in a number of the functions for which he becomes administratively responsible. While this situation is not unusual it perhaps would be much better if it existed to a somewhat lesser degree. What usually happens when the new administrator is intimately familiar with one or two of his functional operations but is inexperienced in, knows little about, the others? It is the natural tendency, and it happens altogether too frequently, for the manager to distribute his interests and attention among his operations in essentially the same proportion as his knowledge of each of them. He is inclined to devote a great deal of his time to the functions he knows about and very little to those he is unfamiliar with. What are the natural consequences of this mode of operation?

The results are readily recognized. At least his subordinates who are ostensibly in charge of the several specialties have no difficulty in recognizing the results. The administrator is meddling in his individual specialties and is seriously neglecting those operations he knows little about. As a consequence, a heavy price is paid by all of the operations and

The first part of the history of the United States is the history of the colonies. The colonies were founded by Englishmen who sought freedom of religion and self-government. They were at first dependent on England for protection and supplies, but they gradually became more independent. The colonies were united by a common language, a common religion, and a common interest in freedom. They were also united by a common enemy, the British government. The colonies fought the American Revolution to win their independence from Britain. The Revolution was a great success, and the United States was born.

The second part of the history of the United States is the history of the early years of the new nation. The United States was a young and weak country, and it had to fight many wars to establish its independence. It fought the Revolutionary War against Britain, the War of 1812 against Britain, and the Mexican War against Mexico. The United States also fought many smaller wars with Native Americans. The United States was a young and weak country, and it had to fight many wars to establish its independence.

The third part of the history of the United States is the history of the middle years of the new nation. The United States was a young and weak country, and it had to fight many wars to establish its independence. It fought the Revolutionary War against Britain, the War of 1812 against Britain, and the Mexican War against Mexico. The United States also fought many smaller wars with Native Americans. The United States was a young and weak country, and it had to fight many wars to establish its independence.

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by all of his subordinate specialists. Actually, the administrator is exerting a deterring influence upon the operations of his subordinates who presumably are being held responsible for the several activities in which the administrator is vitally interested. What is the effect upon the members of his staff who head up the specialties to which the administrator allots a disproportionate amount of his time and concern? These members of his staff cannot operate with the freedom they are entitled to and the freedom they need in order to do their best. They find their boss actually handling the things that were delegated to them, at least they were delegated on paper. The boss tries to keep up with all developments in these specialized fields but, if he spends very much time on the other parts of his job, this proves to be impossible. No matter how outstanding he may have been in these specialties when he took over the job of administrator he is incapable, almost without exception, of thereafter maintaining that level of competency in those specialized fields and at the same time manage his entire outfit efficiently.

What is the effect of this practice upon the other work and upon the subordinates in charge of those other operations about which the administrator knows little? There is overall neglect of these operations. And the subordinates responsible for them are neglected. They recognize this neglect and respond accordingly. They think and they're obviously right, that the boss has less interest in their activities. They become discouraged in their inability to get the ear of the boss and, as a consequence, they and their work suffer. Sometimes, to make matters still worse, the boss won't admit his lack of competency in these foreign areas. He refuses to give free rein to the members of the subordinate group who find themselves engulfed in this type of situation regardless of how competent they may be.



When they are able, on infrequent occasions, to get the boss to stay put long enough to listen to a few of their problems, they are seldom told to proceed in the way they are convinced is proper. The boss seems to think that he still has to show that he is the boss by telling these people to not be too concerned, to take it easy for a while, or by handing out a decision which proves, once more, that he is unsure of himself but is unwilling to admit it.

Can this be considered as effective use of staff? This type of situation is by no means unusual. Wherever it exists is it not positive evidence of the need for seeing to it that something definite is done to alter, to a substantial degree, the mode of operation?

Give Attention To Functions In Relation To Relative Importance and Need:

The administrator who operates efficiently administers his functions in a manner that is entirely different from the situation just described. He deliberately identifies the functional specialties he is thoroughly experienced in, those with which he is somewhat less familiar, and those about which he knows little. He pays comparatively little attention to the first group, spends somewhat more time on the second, and devotes the major part of his attention to the third. He operates this way because he recognizes his job for what it is. He recognizes his deficiencies and knows that he cannot afford not to make a real effort to overcome them. He knows that it is his job to run the whole show and not just part of it. Accordingly, he pretty much leaves alone the function or functions in which he has extensive background experience. For he knows that he will experience but little difficulty in helping to solve the problems which come from that direction. He spends considerable time and effort becoming adequately familiar with those operations with which he is not already sufficiently familiar. It is





in this way, and in this way alone, that the new manager may become able to administer a group of operations with success.

The competent manager subordinates his special interests. He does this deliberately in order that his interest, his time, and his efforts may be apportioned among his several responsibilities in accordance with their individual importance and their individual needs. He is aware that if he gives unjustified attention to one and too little interest and attention to the others the results will be handicapping to all.

### KEEP OFFICIAL RELATIONSHIPS CLEAR

It is the usual condition for larger organizational units to be composed of two major groups of subordinate elements, one group made up of staff units and the other group consisting solely of line units. The organizational responsibilities of the line in relation to those of the staff are as different as night is to day. The line has the responsibility for accomplishing, for carrying out, for achieving, the overall objectives of the organization. The staff is responsible for assisting the line, for facilitating its operations. Both are essential. Without the line the staff would be superfluous, would be without justification for its existence. But without the staff the line would be compelled to perform the normal operations of the staff. Staff functions are always present but in the absence of the definite assignment of those functions to staff segments, the functions are, of necessity, integrated in the line. And when this is done, again referring to the larger organizations, efficiency is impaired. It is impaired to the extent that the benefits inherent in specialization are absent.





Keep the Line in Line and the Staff Out of the Line:

One of the important functions of the manager is to utilize effectively both the line and the staff. We refer, of course, to the individual who is responsible for subordinate units in both of these categories. Basic to effective utilization is the exercise of adequate control at all times. It is in this way that the manager makes certain that the functions, the responsibilities, and the authorities of each are kept clear. The most common danger area which he needs to constantly guard against is the avoidance of staff encroachment on the line. The preventing of the staff from usurping the prerogatives of the line. And he must make equally certain that the line does not engage in similar departures. However, deviation in this direction represents a somewhat less serious hazard. The necessary degree of control is not something that will take place all by itself. Appropriate adherence on the part of each is assured only through continuous, deliberate vigilance and effort on the part of the manager.

It is a most natural tendency for the line to be perfectly willing to permit the staff to take over certain line operations. This is particularly true with respect to those activities which appear to be somewhat unnecessary, possibly somewhat distasteful, or even unproductive in the eyes of line officers. And it is very natural for the staff to accept this type of line encouragement for in that way the staff entertains the view that its opportunity to share in accomplishment is enhanced.

Aggressiveness Should Be Encouraged But Controlled:

It is very natural, as well, for the staff to be inclined to "chisel in" on line functions. This is especially true when the staff force is made up of aggressive individuals. The reason for this inclination becomes readily apparent when we recognize that the staff does not have the opportunity to



carry major functions to completion. The staff's job is to assist the line in doing just that. Each of us is inclined to become impatient, when things fail to proceed in the manner and as rapidly as we think they should. Particularly when we have a share in the enterprise. We want to step in and take over, to get things going according to our way of thinking. This is one of the major problems constantly confronting the staff officer. It is a problem which the responsible administrator needs to be constantly aware of. And it is his job to keep the staff people in line, out of the line function from the standpoint of responsibility and authority without jeopardizing staff contributions. The manager wants and needs staff subordinates who are aggressive and who operate that way. But that aggressiveness must be controlled so that the results of it will be beneficial and not impeding.

The manager must keep in mind at all times that when the staff assumes line responsibility and line authority and when the line operates in a similar fashion, everybody loses. This is true regardless of the cause and regardless of whether it is done deliberately or not. The fact that the basic cause of potential difficulty is the characteristic of aggressiveness, a characteristic which is a definite virtue, serves to add to the difficulty of the manager's job of controlling.

Operate Out in Front to Prevent Friction:

The manager can keep his line people, and his staff people, "lined up" as they must be, only by giving his continuous attention to this major phase of his job. He must make certain, with appropriate frequency, that each subordinate official clearly understands his place in the organizational structure. Were the manager to develop this understanding once, and to presume that it will always remain, is a presumption that is grossly inaccurate.





These relationships must be repeated again and again throughout the life of the organization. The manager may not assume that everyone understands, and is abiding, merely because no problems in this regard have developed. He must always be operating out in front. Always realizing that the tendency to weaken the necessary degree of segregation is ever present.

But all of these precautions, standing alone, are usually not enough. Of course, the more effective the preventive measures are the less the likelihood of difficulties arising. However, because employees are individuals and operate just that way, someone will, sooner or later, get out of line. Violations will occur. And when they do, it is essential that the administrator effect complete correction as promptly as possible. In the remedial process he needs to be concerned, of course, with the principals involved, the principals on both sides. But he needs to go much further than that. He needs to utilize this experience to the fullest extent as a means of reducing the possibility of a similar occurrence elsewhere in his organization. And he must become aware of the existence of such departures as soon as they occur. This is knowledge which he can possess only by "keeping in touch" with his operations. Again, this is where the third of the three major functions of the manager, control, plays a vital role.

#### KEEP COORDINATED THE OPERATIONS OF THE SUBORDINATE STAFF

Previously, we pointed out the importance of effective coordination and discussed a number of the practices which are necessary in order to develop and maintain this condition. It seems unnecessary to repeat, at this point, the details which have already been discussed. However, it does seem appropriate to emphasize once more that the activities of any administrative staff must be well coordinated in order to derive the maximum





benefit from the efforts of that staff.

### Harmony Produces Efficiency:

Effective utilization of staff is dependent, in no small measure, upon the harmony with which that staff unit operates. The required state of harmony is produced by deliberate, well thought out effort on the part of the responsible administrator. He must make certain that clear relationships between the members of his subordinate staff are established and are maintained. He must see to it that all issues are faced up to promptly and are resolved with dispatch. That all staff members are kept fully informed on all matters with which they need to be familiar as well as all other matters they desire to know about to the extent that they have that right. That the staff participates in the development of logical programs of work. That work plans are utilized properly. And that adequate control is maintained through the course of day-to-day operations as well as by means of an efficient inspection system which produces true evaluations and insures the appropriate utilization of inspection results by all having some official relationship to the activities to which such results are related.

### CHECK UP ON YOURSELF

In the preceding we have attempted to enumerate some of the safeguards and some of the practices which the average manager must apply in order that he, his subordinate staff members, and the entire organization may derive the fullest benefit from their individual and collective efforts. The manager who keeps these things in mind, all of the time, and acts accordingly, may rest reasonably assured that he will enjoy a substantial measure of success on his job. But it is only human nature to become inclined to think that when things are now running smoothly the chances are



good that they will continue that way. And it is only human nature, too, to devote a disproportionate share of one's attention to the things that are particularly interesting, often at the expense of other things that are relatively more important. These are just normal hazards of the manager's job. But as they do exist it becomes necessary to establish some safeguards against these hazards. The manager needs to check up on himself occasionally. He needs to see to it that he does just this. And one of the best ways is to schedule these checkups, these control measures, in his own plan of work.

As an aid to the manager in this personal checkup process we are listing a number of fundamental elements which, now and then, need to be looked at. Honest appraisal, by the manager, of his own practices will do much to assure him and to assure the people who look to him for leadership, that his subordinate staff is being utilized with full effectiveness.

1. Be certain that each staff member understands his official relationship to you and to the others. See to it that those relationships are respected.

2. Face up to issues promptly and resolve them to the best of your ability. Don't fall into the trap of rationalizing that things will work out well if they are left alone.

3. Deal with your subordinates in a frank and forthright manner. If you treat them that way they will treat you the same way.

4. Do not think that you always have the best answer to subordinates' problems and always have to supply it. You probably are not quite that capable. Let the subordinate help. He is the one who is at least as interested as you are. Ask him what he thinks. Then take one of his





solutions if you possibly can. It is his decision then, not yours, and that is just the way both of you want it.

5. Do not resent "yes'men or the silent ones. You better take a look at yourself. The odds are at least even that it is your fault and not theirs.

6. Do not resent sincere criticism. Without it you have only your own limited resources to draw on. With it you are getting the help you cannot do without.

7. Do not pass the buck to your subordinates. Take a little of their blame. You can afford to.

8. Remember that you appreciate recognition and praise. So do your subordinates. Treat them as you would like to be treated.

9. Properly divide your attention among the several functions for which you are responsible. Do not play up your specialties or preferences. Deliberately subordinate them.

10. Give each staff member full opportunity to grow. Never hold him back. You want to advance and so does he.

11. Let each subordinate carry out his job without interference from you. Never hold him responsible for anything over which he does not have full authority.

12. Never criticize one staff member to another.

13. Last, always set the example you want your subordinates to follow. You will win their confidence, their respect, and their full cooperation if you expect them to "do as I do." But you cannot win if you expect them to "do as I say, not as I do."





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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 11

EFFECTIVE USE OF THE SUBORDINATE STAFF

WORK ASSIGNMENT

- A. Briefly describe each of the three major functions of the total management job.
- B. Explain why it is important for the manager to see to it that the control function is carried out effectively. Indicate some of the resultant conditions which are virtually certain when little attention is given to the control function and the manager is primarily concerned with the function of direction.
- C. List at least five conditions which are essential in order to insure the effective utilization of a subordinate staff.
- D. Describe the basic purpose of disciplinary action in any form.
- E. In your opinion, what is the first basic step that is necessary to make certain that the career development of the individual employee will be accorded appropriate attention? Briefly explain.

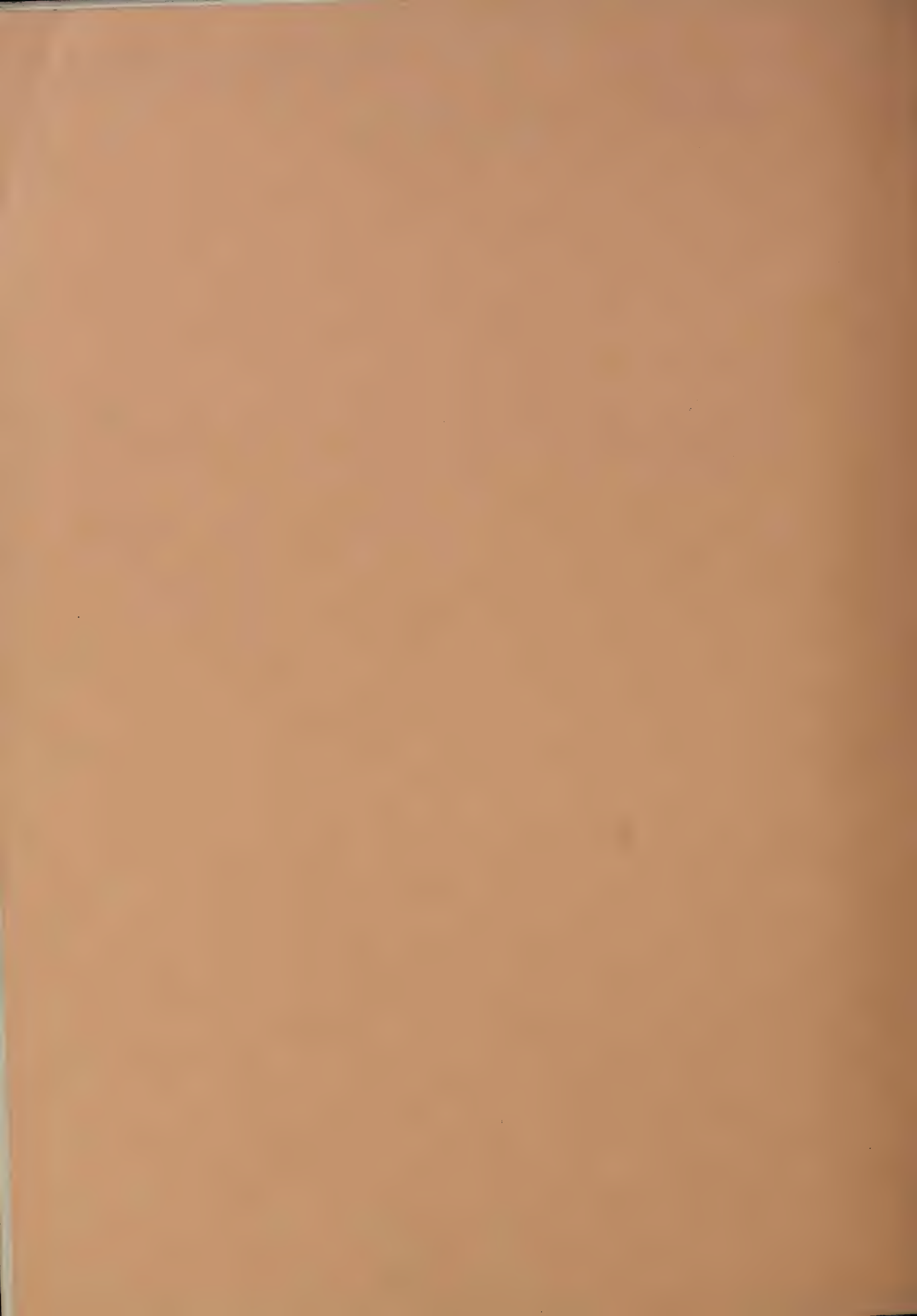


- F. When an individual who has demonstrated above average competence in some other specialized field enters his first managerial assignment what are some of the dangers he must recognize and guard against?
- G. What do we mean by delegation? Why must the manager delegate? What does he delegate and how does he do it?
- H. Describe several of the consequences which are inevitable when the line-staff relationships are not clear.
- I. How should the manager react to the criticisms, the complaints, the suggestions, the gripes of his subordinates?
- J. In your own words, briefly explain why the full use of the subordinate staff is important, is logical.







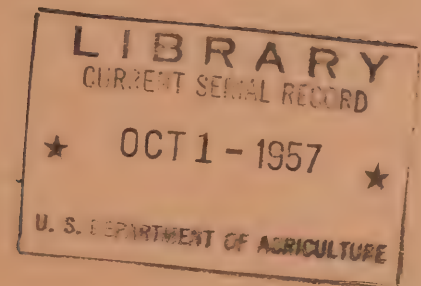




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SECTION 12

THE RELATION OF MORALE TO MANAGEMENT

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WASHINGTON, D. C.  
1957



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SECTION 12

THE RELATION OF MORALE TO MANAGEMENT

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WASHINGTON, D. C.

1957

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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 12 - THE RELATION OF MORALE TO MANAGEMENT

This topic that we are about to consider, morale, is one that is discussed with considerable frequency by a great many people. It is natural that this would be the case for morale relates to a state of affairs in which people represent the prime component. And it would appear to be highly probable that the subject has various shades of meaning, many of them widely divergent, to a great number of the individuals who give the subject any substantial amount of consideration. Probably there is one point about which there would be little or no disagreement. And that is that good morale represents the desired condition, that low morale represents a condition that is favored by none.

The view has been expressed that morale is something which is present or is absent, that it is present completely or is lacking completely. Certainly, we must discard that concept in the very beginning. For the same reason that most any state of affairs affecting groups of people, or individuals, is subject to relative measurement, from the standpoint of its acceptability to the group or the person. Morale is like the weather. It's always with us in one form or another. And, like the weather, it may be classed, in the opinion of the individual, as good or fair or bad. Fortunately, the weather is much more changeable, subject to a much greater degree of fluctuation, than the morale state in a cooperative enterprise. And we can do little to control the former but the latter responds to positive efforts.





The state of morale that exists, regardless of what it may be, is a great deal more than a surface attitude or an emotional display as reflected in the expressions and actions of the individual. The state of morale represents the very life of the organization. When the morale state throughout the organization is exceptionally desirable, it seems entirely proper to express the view that the success of the operation is virtually assured. And, conversely, when the state of morale prevailing generally is low the organization can hardly be expected to be successful.

It would probably be well for us to recognize, at the very outset, that with efficient management the general morale state is certain to be fully acceptable. And that with inefficient management a state of low morale is equally certain to exist. The two, management and morale, go hand in hand. It is not a question of some degree of inter-dependency or inter-relationship between the two. The state of morale that is present is determined by the quality of management that is present. The degree of efficiency of the one determines the degree of acceptability of the other. And there are no other factors exerting influences of any particular significance.

#### Not A Separate Phase Or Function

It is unfortunate that it appears to be the too prevalent impression that morale is something which may be positively delineated from the area of management. That it is something which may be set apart, may be dealt with separately from the other elements which, taken collectively, make up the total management field. This cannot be looked upon as a valid point of view. For there may not exist a state of high morale in an inefficiently managed organization. Every phase of the management function, every policy, every practice, every precedent exerts some type of



influence upon the morale state. And, taken collectively, all administrative actions determine the morale state. High morale, just like efficient management, may be brought about only through the application of deliberate effort. It is not something that will just happen all by itself. And, again like efficient management it may be looked upon as something that is difficult to bring about. Yet it is difficult of accomplishment only in the sense that positive and continuing effort on the part of competent people is required. It is very evident, of course, that less than fully competent managers are unable to produce a wholly acceptable management situation. This same thing is true, of course, with respect to any science or profession. The less than fully competent lawyer will find that there is relatively less demand for his services. The incompetent doctor of medicine will undergo the same experience. An acceptable level of efficiency is required in these two professions, as well as all others, in order that there may be produced a result that is considered to be acceptable by all who are in any way affected. And the same reasoning applies with respect to all those people who occupy managerial positions. It logically follows then, that the development of capable managers represents the first step in the creation of the morale state that is essential to full success.

It is very fortunate that many things that are difficult to achieve are frequently not readily lost. This same condition applies to the general situation that exists when a high state of morale among employees has been created. For once this condition is established every member of the organization will do his best to retain that which he recognizes as a valuable personal asset. For the employee group realizes that they are the ones who will suffer from the loss. And they will vigorously oppose



The first part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The second part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The third part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The fourth part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The fifth part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The sixth part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The seventh part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The eighth part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The ninth part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man. The tenth part of the book is devoted to a general introduction to the subject of the history of the world. It begins with a chapter on the origin of the world, and then proceeds to a chapter on the origin of man.

any tendencies which will prove detrimental to them.

### Morale Precisely Defined

The value of precise definitions might be subject to some question. However, anything which helps to create a clear and uniform understanding may well be worthwhile. From our discussion so far we might agree that high morale might be defined briefly in this manner: "The condition existing in any organization which indicates full acceptance of organizational objectives and both the willingness and desire by members of the organization to operate as a unit in the attainment of those objectives." It will be observed that this definition points up the necessity for the presence of positive evidence of a sincere interest in what the organization is attempting to accomplish. For when the proper degree of interest is present the individual and collective efforts will go well beyond that which might be expected in the presence merely of willingness to do that which is required.

It is obvious, of course, that when a low state of morale is present there exists a condition which is the reverse of that described above. And it is equally obvious that when that condition exists there is absent the basic requirement for fully efficient operation. None of us would find it very difficult to describe the general condition then prevailing. It might be possible but much more difficult to describe the various sets of conditions which would be in evidence when anyone of the intermediate situations was present. The two extremes are readily recognized, as are the consequences directly attributable to them. But these intermediate levels are much less precise and their effects upon organizational efficiency offer much more resistance to accurate measurement.





### THE IMPORTANCE OF A STATE OF HIGH MORALE

A wholly acceptable morale state is of extreme importance for the reason that complete success is dependent upon it. Our concern, of course, has to do with the results that the state of morale produces. It would seem to be unnecessary to dwell upon this question at any great length. For it is obvious to each of us that a disinterested or disgruntled employee will produce below the quantity and quality levels of which he is capable. And when this happens the undesirable effects may be not only numerous and costly but they tend to become cumulative. The value received for the cost of personal services is less than that desired by management and is below that which the individuals involved are desirous of supplying. Individual capabilities are not fully utilized. Members of the organization are deprived by management of the opportunities that such members desire, of the job satisfaction they must have, and of the monetary and other compensations to which they are entitled.

While it is true that under such conditions the "organization" is losing, the loss suffered by the individual employee is the item which represents the primary concern of all. For the damage to the employee is in the form of personal loss, of one character or another, and the consequences may be of such serious proportions as to be virtually irreparable.

When it becomes evident to any manager that an appreciable proportion of his people are decidedly unhappy in their jobs, the manager needs to recognize the seriousness of the situation in which he finds himself. Further, he needs to recognize where the responsibility for the condition rests, and who is responsible for attempting to correct it. He should not, as some seem to be inclined to do, attribute the situation to the fact that, in his opinion, he has been handed a working force made up



of substandard people. There is always at least one very definite reason, and possibly several, for evidences of substantial disturbance on the part of individual employees. And this is especially true if the condition is not confined to a few isolated individuals. It is a condition representing cause for real concern. It is a situation about which something needs to be done by someone. And there may be no doubt as to the identity of that someone. A very real responsibility rests with at least one management officer.

### CREATING THE NEEDED CONDITION

As we have mentioned repeatedly, there is no such thing as a short cut to efficient management. It is immediately evident then, that there is no short cut to the creation of the state of morale that is needed to insure an acceptable efficiency level. Good morale is not something which can be brought into being by means of planned "programs" deliberately designed for this purpose. It seems to be a practice that is entirely too prevalent to set up separate projects, or programs, having as their sole purpose the the creation of the morale condition that is wanted. Certainly, each of us is entirely familiar with this sort of practice. Very often these apparently well intentioned efforts produce results which are of questionable value. And it is not too unusual for the activity to result in nothing more than a waste of time and money which could be used to much better advantage in many other ways. Often, these expenditures, if properly used, would go a long way toward the development of the kind of conditions that are wanted by all.

### Specific "Morale Building" Activities

One of the most common practices of this character is the attempt, on the part of management, to plan the leisure time of employees. It is



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hardly conceivable that anyone could be so presumptuous as to believe that any employee wants management to try to plan, in meticulous detail, what the individual worker is to do outside of his official hours of work. The average employee feels, and very properly so, that if he gives a good day's work he should be entitled to the privilege of deciding what he will do when he is away from the job. He frequently thinks, and his thinking would appear to be wholly justified, that when management tries to plan the employee's unofficial time, management is then concerning itself with something that is wholly outside its jurisdiction. And, of course, the propriety of such a viewpoint cannot be successfully challenged. The individual resents what he looks upon as an intrusion upon that part of his life over which he, as an individual, is entitled to exercise an appreciable degree of control.

When management does get this far afield, the results are often the opposite of those which management set out to accomplish. Sometimes, the employee's morale is lowered instead of improved. He thinks that he should be subjected to the degree of regimentation that is necessary in the work situation only during the official work period and that he should be privileged to make his own decisions the rest of the time. If management devoted the same amount of time and effort and funds to the problem of improving working conditions, which represents an important administrative function, a great deal more would be accomplished in the right direction, in bringing about the general condition that is desired by every member of the organization.

In some organizations quite a bit of time and no little effort are expended to attempt to convince its employees that the organization is "one big happy family" and that they are members of that family.

The first part of the report deals with the general situation of the country. It is a very interesting and informative study of the country's development. The second part of the report deals with the specific details of the country's development. It is a very detailed and thorough study of the country's development.

### THE COUNTRY'S DEVELOPMENT

The country's development has been a very rapid one. It has gone from a small, isolated community to a large, thriving city. The country's development has been a very successful one. It has been a very important part of the country's development.

The country's development has been a very important part of the country's development. It has been a very important part of the country's development. It has been a very important part of the country's development. It has been a very important part of the country's development.



The objective is a laudable one but the means that are sometimes taken, in an effort to reach it, are far from effective. At least a few managers even go so far as to insist that newcomers be told during the "orientation" period that they now belong to the "family." We must conclude that the people promoting the idea believe that if new employees are told this at the beginning they will believe it from then on. This would appear to be nothing more than wishful thinking. For the creation of a family spirit takes action, not words alone. And it takes action that is continuous, that indicates clearly a sincere interest in the welfare of the individual. Then, and only then, will the true "family" climate prevail. Lip service alone will not do the job. Actually, when that which is said is in conflict with that which is done the consequences may well be less desirable than would have been in the case had nothing been said.

All of those who have managerial responsibilities, to any extent, cannot afford, at anytime, to lose sight of the fact that the morale condition in any organization is determined by the character of the administrative practices applied in that organization. Every phase of every operation has its influence upon employee morale. The optimum condition cannot, and will not, prevail if there is any departure any where along the line. Desirable employee attitudes cannot be developed by superficial means. The necessary condition cannot be brought about by the deliberate doing of nice and considerate things on the one hand, and making certain that employees understand that management is doing these nice and considerate things for them, and then proceeding to operate quite differently in the course of routine day-to-day operations.



### PRACTICES WHICH PRODUCE THE DESIRED RESULTS

All of the practices that we are going to discuss are not specific things deliberately planned and followed to treat a particular situation that may be of current concern right at the moment. They are not "project" operations of limited duration which are followed under certain circumstances or at certain times and are otherwise ignored. These are things that must be done all of the time, must be the standard operating practice that is always adhered to. It is the overall mode of operation that is applied to every activity and is engaged in by all members of the management force, not just part of them.

The following are some of the more important conditions which must exist, which must be in evidence all of the time in order for each administrator to develop and maintain the type of situation most wanted by him and by his subordinates. These are conditions which will not just happen all by themselves. They result from deliberate effort. They result from the continuous application of a way of management that is basically sound. To create these conditions and to maintain them are primary responsibilities of every administrator. The most important thing to remember is that these conditions must represent normal operating policies and practices that are standard and routine. It should be recognized, that just one failure may serve to nullify much, possibly a substantial part, of the accomplishment that has been brought about up to that time.

1. The superior must earn and maintain the confidence and respect of those who look to him for direction. There is only one way in which he can bring this about. Words alone are insufficient. Actions alone are sufficient. Whenever the superior is confronted with a problem he must face it, and he must arrive at a definite conclusion that is clearly in the





interests of the organization and the people who comprise it.

2. The administrative official must be constantly aware of the importance of what is referred to as good human relations in everything that he does. His interest in the well-being of each individual subordinate must be sincere and, once again, his sincerity must be evidenced by his actions. He takes an interested and active part in developing a logical career plan for each individual subordinate and the superior carries out his part of the responsibility fully by seeing to it that the plan materializes to the extent possible under the conditions that exist.

3. Every management officer wants to know, at all times, how he stands in the eyes of his superior. Each manager recognizes that those over whom he has jurisdiction want to possess the same knowledge and he makes certain that they are never left in doubt.

4. Each manager wants to be kept up-to-date as to what is going on in the organization, what has been accomplished, and what is planned for the future. He is aware that his people have the same interests he has and he sees to it that they are currently and completely informed. He makes certain that he does a good job by supplying all of the information they want, to which they are entitled, and just to make sure always supplies a little more information than that which appears to be wanted and needed.

5. The manager wants and expects fair treatment from his boss. Those he bosses want and expect the same thing from him and he makes certain that they receive fair treatment. The superior plays no favorites. He considers it as a responsibility inherent in his job to see that each subordinate gets a fair deal and the supervisor does everything in his power to make certain that this is just what the subordinate receives.





6. The superior thinks through and identifies the conditions which he concludes must exist if his morale is to be maintained at a level acceptable to him. He recognizes that his people are individuals just as he is. That they have similar needs and interests and he operates with those interests and needs foremost in mind. He considers the interests of his people to represent his prime responsibility, to be redeemed by him with the help of those he is helping.

7. Disciplinary action is administered promptly and fairly. Opportunities to give subordinates justified praise and credit are looked for and are never overlooked. When reprimand, censure, or other penalizing action is appropriate that action is taken at the proper time, by the proper people, and in the proper way.

8. The management officer's delegations to his subordinates are clear and complete. All of the authority that is necessary to permit the subordinate to redeem the assigned responsibility is always provided. No subordinate is ever held responsible for something over which he did not have adequate control. And the superior always respects such delegations by refusing to interfere with the conduct of the operations for which he is holding his subordinates responsible.

9. The boss uses his staff, to the fullest extent, to get the ideas and suggestions of his subordinate force and he welcomes their criticisms. He is of the opinion that almost all "gripes" are of value, are based on conditions which justify them, at least to some degree. He always has time to listen to what his people have to say and has time to give proper consideration to what they have to say.

10. The supervisor is aware that all of his actions, that everything that he does, sets the example for those under him. He does nothing



which he could look upon with disfavor if duplicated by one of his subordinates.

11. The boss stands up for his people. He never permits others, including his superiors, to usurp or encroach upon the responsibilities and prerogatives which are properly his, as they relate to those over whom he has jurisdiction.

We have made no attempt to enumerate all of the important administrative practices which must be followed in order that members of the organization will entertain the proper attitude toward their work, toward the people for whom they work, and toward the organization. Certain of those we did not include in the above have already been discussed or will be discussed later on. An infallible principle in this regard is simply this. Any practice which is in line with good management will contribute to a high state of morale in any group.

#### CCNDITIONS INDICATING THE EXISTENCE OF GOOD MORALE

The conventional type of formal "survey" is frequently of rather questionable value in determining the morale condition in any organization. While this is probably an accurate premise under any conditions it is certainly true when the state of morale appears to be such as to justify management's concern. And that is the exact type of situation which usually prompts an effort of that kind. The reasons for questioning the validity and value of such determination, in this way, are clearly evident. For when such a condition exists the very nature of the condition itself is in conflict with the climate that is necessary in order to obtain forthright responses from the people who are involved.





The review of records and the observation of the routine actions of employees, at all levels, speak with much more authority and accuracy than do the answers provided in response to a questionnaire. There are positive indications, expressed by actions and otherwise, which are valid criteria. The necessary determination can be made most effectively in the course of routine day-to-day operations. The evidences disclosed in this way will be much more accurate, for they are based on the consideration of all actual conditions, rather than on "program" efforts designed to measure one condition to the exclusion of all others. The degree of inter-dependency of routine day-to-day operating practice to the attitudes of those governed by those practices is so great that the "programming" of morale determination, particularly when such programming follows a very strict form, is almost certain to produce results which are not wholly reliable.

The manager does not have to make any special effort or undertake things outside of the normal pattern in order to acquire very accurate knowledge with respect to the state of morale of his subordinate force. All he has to do is observe the work results, and observe his people, how they operate, how they act, and how they react. If he discovers conditions which are similar to those which follow he may be reasonably assured that a suitable morale state exists. And he may have the further satisfaction of knowing that his method of operating, as a manager, is in line with sound principle and practice.

1. Employees evidence a real interest in the welfare of the organization. In the way it operates and in the successes and the failures that occur.





2. Employees will be openly critical of management to management. They will propose changes in operating practice and will, without hesitation, offer suggestions which they feel will bring about improvement.

3. Employees will defend the organization in their contacts with "outsiders." They will feel that it is their privilege to be critical of the organization to those within it for it is their justified view that this constitutes a self-criticism. And they will feel that it is their responsibility to defend the organization against those on the outside, for such criticism represents unfavorable comment that the employee looks upon as being directed toward him as an individual.

4. Employees will display sincere interest in the welfare of fellow workers. They will react favorably to promotions and other desirable actions affecting others for they know that such actions were based upon the best judgment of the responsible members of the management force. And the employee will display a helpful and cooperative attitude with respect to the work operations performed by his associates.

5. Employees will invite, rather than object to, assignments which call for increased production as well as duties not normally assigned to them. Their attitude will be such that they will willingly accept responsibilities, which may, at times, be somewhat beyond their capabilities.

6. Attendance records will reflect a minimum of absenteeism. Actually, there will be occasion when the employee will insist on remaining on the job when it would be in the interest of all concerned for him to be absent.

7. It will be the standard practice for employees to decline more lucrative assignments in order that they may remain in the organization and continue to receive the kind of treatment they want, deserve, and



appreciate.

8. The organization will experience a minimum of voluntary turn-over. The recruiting of personnel is seldom a problem for the fact that there is clear evidence of considerate treatment of those currently employed causes others to want to become members of the outfit which has the reputation of being "a good place to work."

Conditions such as these, and others of a similar character, are the ones the manager should look for. He will find that casual observation under actual operating conditions is the most effective way to make these determinations. For employee actions and reactions and responses are then spontaneous and natural and may be relied upon.

#### PRACTICES TENDING TO CREATE A STATE OF LOW MORALE

There is possibly no more valid test of the administrator than his ability to cope successfully with a deplorable morale situation. And it is not the least bit unusual for the more experienced managers, and occasionally some of the inexperienced ones, to be faced with that precise problem. For many managerial posts are filled by replacement. And it is not always that the new manager inherits a state of affairs that evidences average or better managerial competency on the part of his predecessor. When an individual finds himself in such an unenviable position he has the responsibility for determining the true conditions that exist and the further responsibility of proceeding to do that which he considered to be appropriate under the circumstances.

Of course, the manager has to know what to do and he needs to know what not to do in order to establish a sound management situation and a high level of morale, and in order to maintain that level. If he does not





know what practices he should avoid it is probable that they will not be avoided. Of course, some administrators are able to "learn the hard way." And there may be a few who are not able to learn in that way or in any other. But learning the hard way is the costly way and the price for the learning is paid for by every individual employee.

The general operating practice which involves preventive measures to a primary degree is much more effective, less time consuming and is much less destructive than the old trial and error method. Remedy after the damage has been done is frequently looked upon as being too difficult to attempt. Often, the correction or the elimination of the basic cause of the difficulty is not attempted. Possibly no effort is made to correct the basic cause because that cause was not discovered. And it is not unusual for changes to be made with the hope, apparently, that mere change itself will remedy the problem. Sometimes, these changes take the form of personnel shifts or the reassignment of responsibility. When these things alone are done, and when there is no revision of operating practice, the situation may soon revert to its former state, or possibly become even worse. The individual workers involved in these shuffles may be the ones who are blamed, unjustifiably, for the unsatisfactory conditions and they are the ones who pay the price for the failures of management.

We have mentioned a number of times that the manager needs to understand clearly the difference between two ways of operating - the right and the wrong. He needs to understand what he should do and what he should not do. For it is not unusual for problems to be created by things the manager does as well as by his failure to act. Certainly, it is very obvious to anyone that managerial acts which of themselves create difficulties are to be avoided. It is evident that all concerned would be





better off if the manager did nothing, in those instances, instead of doing what he did do and thereby creating the type of situation he may think he is trying to avoid but actually is not. Possibly the brief consideration of the following administrative practices will help to illustrate some of the most common types of actions which should be avoided, and some of the results such actions will usually produce.

#### Consideration For The Individual

Any superior who expects his unit to operate with efficiency in spite of his disregard for the human side of his responsibilities is destined to be greatly disappointed. Of course, his disappointment is of no particular consequence in comparison with the ill effects experienced by those who have the misfortune to work for him. The supervisor who shows more interest in and concern for the work than the people doing that work will have more problems than he can cope with successfully.

The failure to supply the working climate which makes it readily possible to satisfy the requirements with respect to personal self respect and dignity of the individual is a positive indication of substandard managerial performance.

#### Keeping Everyone Fully Informed

The justifiable interest of all employees in the affairs of the organization of which they are a definite part is a matter requiring the concern and attention of every manager. If he does not consciously accord appropriate attention to this responsibility he is spending time needlessly in wondering if he will be successful in preventing serious problems from developing. Rumor will be substituted for the accurate knowledge which is lacking. The presence of rumor, founded on partial fact or fiction,

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It will be successful to prevent serious problems from

is a positive indication that communications from superior to subordinate and from subordinate to superior are ineffective.

One of the surest ways of maintaining the state of morale below an acceptable level is deliberately to keep the employee in the dark. It will always work. The manager must determine what his subordinates want to know, what information they are entitled to and should have. He should see that they receive that which they want and need, and have a right to have, voluntarily, without asking for it. If the superior errs it should be on the side of providing too much rather than too little information. There is seldom any danger when the safety factor is applied in this direction, but there is real danger when it goes in the other direction.

#### Help The Individual Reach His Objective

Some managers seem to do a pretty good job of creating the impression that they believe it is good business to treat their people differently than they themselves want to be treated. At least, that is the way in which some do operate. For example, some administrators seem to make it a habit of being reluctant, and frequently refuse, to permit their subordinates to accept other assignments which they consider to be more desirable. Many times promotions are involved. Some superiors evidence this objectionist attitude openly while others try to keep their actions covered up. The first type violates one principle while the second is guilty of violating a number.

It is hardly conceivable that any mature person would believe that any subordinate employee would entertain a favorable attitude toward his boss after he had barred the way to opportunities which would otherwise have been available to the subordinate. This type of action can be classed as



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nothing less than atrocious and without doubt it is one of the most effective ways to cause the individual to be unhappy in his job, one of the surest ways to maintain a poor relationship, to insure the loss of good employees and to accentuate the problem of recruiting and training new employees. Can it be imagined that any manager would appreciate being treated this same way? Is there any logic behind the thought that any manager has the right to think that he is privileged to hand out such raw deals? Or for him to think that those who receive this sort of treatment will react favorably to it?

There is another related practice that is sometimes followed and is perhaps worth mentioning. Each employee wants to think that his interests are of concern to his boss. Subordinates want to believe that the boss will see to it that his people get the kind of consideration to which they are entitled. Employees expect, properly, to get the appropriate rate of pay for the work they do, to get deserved promotions when the opportunities are available.

There are a few people occupying administrative jobs who apparently do not know this or if they do they are very successful in hiding that knowledge. For those to whom we have reference follow the standard practice of allowing the subordinate to remain in the same job at the same salary level so long as he doesn't object too much. Or so long as he doesn't have the opportunity to get a better job. Of course, in the meantime, the employee may be assigned much more responsible duties and a promotion, for that reason, may be long overdue. The superior allows the subordinate's status to remain unchanged until for one reason or another the superior's hand is forced. Until he is compelled to do something to avoid losing the employee. It is not unusual for the superior





to have to match a better offer that the employee receives. And then the supervisor is often very displeased at someone for forcing him to do something that he should have done long ago. Any manager who operates in this fashion, and there are some, is not managing. He is, in essence, doing a rather efficient job of mis-managing.

### The Right Of Individual Accomplishment

Every employee wants and expects to derive certain benefits from his job. And when he does his contributions to the organization are greater. The employee wants a living wage. But after that requirement has been met there is something else that the normal individual wants more than anything else. He wants that which is usually referred to as "job satisfaction." But job satisfaction results from a set of conditions rather than from just one. The single condition that is of greatest importance, is in all probability, the realization of having made a worthwhile contribution through his own individual efforts. This is something that cannot be achieved without enjoying a sense of belonging. The employee wants to know what the organization expects of him, he wants to be given full opportunity to do what is expected of him and he wants the proper recognition and credit for doing his job to the best of his ability.

The practice which is probably most demoralizing, from the subordinate's point of view, is for his superior to assign the work to be done and interfere with the subordinate's efforts to do it. Such interference may take place in several forms. The most common type is by the manager who thinks that he has to be in on every little trivial detail. Who thinks that he has to make every decision, who is constantly bothering the subordinate by asking questions that are of little consequence, and by making suggestions that are about the same. In brief, by refusing to

The first part of the paper discusses the importance of the study and the objectives of the research. It also mentions the scope of the study and the limitations. The second part of the paper discusses the methodology used in the study. It includes the data collection methods and the analysis techniques. The third part of the paper discusses the results of the study. It includes the findings and the conclusions. The fourth part of the paper discusses the implications of the study. It includes the practical applications and the future research directions.

The study was conducted in a systematic and rigorous manner. The data was collected from a large sample of participants. The analysis was conducted using advanced statistical techniques. The results of the study are presented in a clear and concise manner. The findings of the study are discussed in detail. The conclusions of the study are based on the findings. The implications of the study are discussed in detail. The practical applications of the study are discussed. The future research directions are discussed.

The study has several strengths. It includes a large sample size and a rigorous methodology. The findings of the study are significant. The conclusions of the study are based on the findings. The implications of the study are discussed in detail. The practical applications of the study are discussed. The future research directions are discussed. The study has several limitations. It includes a cross-sectional design and a self-reported data. The findings of the study are based on the self-reported data. The conclusions of the study are based on the findings. The implications of the study are discussed in detail. The practical applications of the study are discussed. The future research directions are discussed.

admit to himself and to others that the subordinate is at least well qualified as he is, and possibly better qualified to handle the job in question.

And it is not unusual for this type of manager to disregard the chain of command. It is seldom that he will make a decision on time or may never get around to making the decision, or he will be so concerned about unimportant details that the major objective is lost sight of completely. It is evident that the competent employee who finds himself subjected to this type of supervision yet is trying to do a good job finds himself in an almost impossible situation. When such a condition exists it is probable that "top" management is not particularly strong and for that reason corrective measures, of any particular consequence, may be very slow in making their appearance.

As a result, the employee who finds himself in this situation has but few alternatives. Many times he is compelled to operate far below his capabilities because of the deterrents that are thrown in his way and are allowed to remain there because of the incompetency of the responsible "manager." It is clear that under such circumstances substantial loss is suffered by the affected employee and by the entire organization. The basic cause of the trouble, the individual responsible for exercising managerial control, is too often allowed to continue his malpractice without interference. The zone of influence of this individual is, of course, not limited to the subordinate who is directly affected. The chances are good that other members of the unit are similarly suppressed. But if they are not, other undesirable consequences are still present in no small measure. For others in the work unit become aware of what is going on and they are caused real concern for they naturally wonder how long it



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will be before they are the recipients of similar treatment.

### The Chance To Think And Contribute

The rules and regulations which are prescribed by management have considerable bearing on the state of morale that is present. Not only the kinds of rules but their sheer volume. Of course, there are many rules and regulations that are necessary and there are many that are not. Those who are authorized to decide upon the regulations that will be issued need to be governed in making their determinations, by one basic consideration. By the realization that every restrictive rule, no matter how necessary it may be, takes something away from those to whom it applies.

Every employee wants the opportunity to apply individual initiative. He wants the chance to demonstrate his capabilities, his ability to think and to act. He doesn't want management to do all of his thinking for him. And management needs to entertain the same viewpoint, needs to realize that it wants people who will think and contribute their thoughts. Management needs to recognize that the greatest asset of any organization is the combined knowledge of all those who comprise it. For when that knowledge, which has its origin in individual experiences and capacities, is not utilized to the fullest extent available the organization and every member of that organization are the ones who suffer the loss.

In spite of this so very obvious need for utilizing, to the very maximum degree, all of the attributes of every employee, there seems to be the strong inclination in some organizations, to attempt to anticipate every possible eventuality, and to try to write a regulation to cover every conceivable condition which might some day come into being. And when that sort of a practice becomes deeply entrenched the people who are affected tend to become puppets rather than live members of the cast.

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They are inclined to become followers of regulations rather than thinkers and contributors of ideas. And it is not too unusual for management, in its enthusiasm to demonstrate its capacity for anticipating all possibilities to prescribe regulations which are not only down right unnecessary and unwise but unenforceable as well. It is so very obvious, of course, that the deterrent effect of any unenforceable regulation extends considerably beyond the limits of the regulation itself. If some regulations are prescribed which are unenforceable, and no one can deny that this represents a real possibility, how is the employee expected to know which of the other regulations mean what they say?

As well, it is not particularly unusual for management to fall into the trap of attempting to correct an unsatisfactory situation by the issuance of more regulations when the proper method of correction is an entirely different course of action. For example, one or a very limited number of employees may get out of line, may abuse a privilege or may be guilty of a dereliction of one form or another. At the same time, that vast majority of employees, subject to the same general policies, will be conforming not only to the letter of the policy but with respect to its spirit and intent as well. Normally, the few who did violate did so because of their own individual deficiencies or because of faulty direction on the part of their superiors. It is obviously clear then, that any corrective measures need to be directed toward the cause, toward the few who failed to conform. However, in the outfit that is poorly managed, the almost invariable practice will be to issue a restrictive regulation having application to everyone including the great majority who were guilty of no infraction. This sort of action has the effect of restricting or penalizing all because of the actions of the few. It is clearly a case of control by minority, and almost



invariably a relatively negligible and less competent minority at that.

The effect of this type of practice upon the majority of employees in the organization is so very evident that any detailed discussion about it seems unwarranted. An efficient management will insist upon only the minimum restrictive regulations that are necessary. And if there is doubt as to the wisdom prescribing a restrictive rule the decision normally will be against its issuance. For management efficiency is never measured by the profusion of restrictive regulations currently in force. And we may properly conclude that the presence of an excessive number of rules and regulations represents a condition justifying serious question as to the quality of the management responsible for that condition.

#### The Caste Situation

It is not nearly as unusual as it should be for some people to think that individuals in higher positions are "better" than those people who receive less pay or have less responsible jobs. Those to whom we refer, who occupy "more important" jobs, may be considered as actually superior in most if not all respects, are somewhat more intelligent, are entitled to more prestige, and should be "looked up to" by the people in "lower" positions. It may not be extremely unusual that some individuals are in "superior" positions for reasons other than their relative capabilities.

Neither superiority nor inferiority other than in a jurisdictional sense, is conveyed to the individual by reason of the character or status of the position he occupies. To put it another way, the individual, as such, does not immediately and automatically inherit certain virtues or stature, nor does he lose any, by virtue of the relative "prominence" of the position he may occupy. Substantial change in the basic characteristics of





individuals calls for the application of influences much more potent than mere job assignment. Of course, the work environment, the nature of the job, does affect a person in many ways. But these positive results occur over some period of time, as they take place because of associations and other influences provided by the environment. They do not occur just because of the position title or because of the relative level of responsibility and authority vested in the position the person is occupying.

Nevertheless, this superior-inferior fallacy is sometimes actually encouraged by management, by some of the rules that are issued and by some of the practices that are prescribed and condoned. For example, it may be the custom for individuals in "higher" positions to be declared eligible for certain privileges which are not available to those in levels below. In some instances these discriminatory advantages, if they may be referred to as that, are openly stated and in others they may be the subjects of confidential documents which, of course, never remain confidential. Either method raises much question but the latter tends to compound the undesirable consequences.

It hardly seems necessary to describe in great detail the situations which may result from such conditions. Naturally, those who are discriminated against react unfavorably. They tend to lose respect for the ones for whom respect is necessary if operations are to run the way everyone wants them to. Those upon whom the privileges are bestowed may try to think, and act, somewhat "bigger" because they are getting something that others do not get. Possibly some of those who do react in this way do so because it might be somewhat more difficult to locate other personal factors on which increased stature could be based.

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It is extremely difficult to understand how anyone could entertain the view that mere occupancy of a position represents a valid basis for determining the true stature of the individual. And it is equally difficult to understand how anyone could believe that for him to feel and act superior will prove to be an effective way to gain the respect and confidence of others. The mark of a truly big individual is the absence of actions which indicate that he thinks he is "better" than the others.

### The Busy Boss

It is most disturbing to any employee to have to try to work for a boss who is always too busy to talk things over with the subordinate, too busy to pay much attention to him. It would appear that this type of superior has somehow acquired the mistaken idea that his competency is measured by how busy he acts and looks. And because he thinks as he does, he always seems to appear to be so occupied with something that is so important that he just doesn't have time for the things which are of concern to the people he is supposed to be primarily concerned about.

More often than not, this type of "manager" is not performing his job at an acceptable level of efficiency. He is not qualified, at the moment, to manage the operation over which he has been given jurisdiction. When he never has time to show sincere interest and concern about the matters of real concern to his people, they react as it is very natural for people to react under such circumstances. They think the boss doesn't care much about their work or about them as individuals. And when they think this way they lose interest, they sometimes become very resentful, they get a minimum of satisfaction out of their work and the pay check is about all there is for them to look forward to. All of



these results add up to a general situation which offers but little incentive, which results in lowered efficiency, and in a state of low morale.

### The Obstacle Boss

Some of the people who happen to be in management jobs operate in such a way that they are extremely efficient in preventing those who are serving as their subordinates from accomplishing as much as they should be permitted to. This is the type of individual who blocks, at least for a time, most everything that comes his way. Sometimes he holds things up a little while, sometimes the delay is so long that the release occurs after it is too late, and at other times he never does get entirely out of the way. Normally, he is very consistent in one respect in that he may be relied upon to delay action on most everything that is sent up to him. And it is not infrequent that the same tactics are applied to things that come down to him.

Particularly effective morale lowering practices may result from one or several of a number of deficiencies. The individual may be unwilling to delegate or possibly he doesn't know how to delegate. He may be a credit grabber and is afraid that one of his people will get recognition for something if others find out that he deserves it. Some of the people who operate this way insist upon meticulously worded policies and procedures and then proceed to pay little attention to such determinations which appeared, during the process of formulation, to be of exceptional importance. Possibly these people operate under the theory that the mere issuance of a regulation represents the end result. Or the basic cause behind such operating practices may be that the individual does not fully comprehend the character and scope of his function and the way





he must operate if he is going to redeem his responsibilities to his people, above and below.

When fully competent people, capable of doing a high quality job when they are permitted a reasonable degree of freedom, find their efforts frequently blocked, the effects upon them and their work are bound to be of a most undesirable character. The true state of their morale will be reflected in numerous ways. By general dissatisfaction, requests for transfer, legitimate griping which goes unrecognized, the evident inclination to do the bare minimum that is necessary to get by, and general accomplishment which is well below that which would occur if the major obstacle was removed.

#### The Indispensable Boss

Fully capable employees who operate under a boss who is average or better will perform at their normal efficiency level while the boss is away. Providing, of course, that the boss isn't absent too often nor too long. Actually, people want the opportunity to show what they can do on their own. And the manager who knows how to manage will see to it that his people get that chance. He will provide that opportunity deliberately, as a routine part of his normal operations. For he knows that this is what he must do if he is to develop a climate in which operations will go forward as usual during his temporary absence.

Then there are some managers who operate in such a way that their people are over-directed. They can hardly make a move before they get the approval of the boss. And such a boss not only permits the practice to develop, and to become standard operating procedure, but he often insists that it be just that way. For some reason, he seems to

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have developed the mistaken idea that he must be on the job all of the time and if he isn't things would get badly out of hand. Even when he does take a little time off, possibly with a great deal of reluctance, he still tries to keep in touch and sometimes goes so far as to insist that he be furnished with frequent reports while he is gone. And when he has to be away for any length of time he is likely to imagine that he will discover all kinds of things that went wrong when he gets back. And if he doesn't he may be rather disappointed.

When people are required to operate under such rigid control, they are deprived of many opportunities, and the satisfactions that they must have in order to develop, in order to be efficient. For the maintaining of a suitable state of mind, on the part of the individual worker, is essential to the enjoyment of true success on the part of the individual and on the part of the enterprise of which he is a part.

#### The Same Treatment For All

People do not respond favorably to an overall management policy which, in practice, results in considerable variation in the manner in which the members of the organization are treated. No fully competent employee wants to receive special treatment. But he does want to receive the proper kind of treatment as an individual and he wants the others with whom he works to be similarly treated. The desirable employee derives much satisfaction, including a feeling of security, when he observes that the others with whom he works are the recipients of appropriate consideration. He responds favorably when his coworkers receive deserved recognition and advancements to which they are entitled. But he responds unfavorably when the practices that are

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followed in this respect appear to him, and to others, to be of questionable propriety. For he knows, too, that he may find himself on the receiving end. It should not be particularly difficult for management officers to identify the kind of operating practice that members of the subordinate force will look upon as being most favorable. The manager will be helped in making this determination by identifying the conditions that he, as an individual, considers to be most favorable from his own standpoint.

The conditions which we have discussed represent only a comparatively small portion of the total. All of these conditions, and the others like them, have a decided bearing upon the individual and collective morale status in any enterprise. It has been our intention to describe a pattern, and to illustrate by specific examples the general type of situation about which every manager needs to be vitally concerned. No one of us would have any particular difficulty in extending the pattern to aid us in discovering the many other features of the manager's job to which he must give his careful attention in order that there will be developed and maintained the type of attitude among the people concerned that is so essential to the enjoyment of success by all.

#### A SUMMARY OF CONCLUSIONS

1. Management must recognize that the state of morale which exists whether it be desirable or undesirable, almost invariably is the result of management's acts or omissions.

2. Management practices and policies and morale are inseparable considerations as the latter is dependent upon the former.





3. Distinct and separate "morale building programs" of the conventional type are seldom productive and may prove to be detrimental.

4. Mere reference by management to the members of the organization as "one big happy family" does nothing to boost morale and is often resented by the members of that "family." This state of affairs is accomplished by actions, not by words alone.

5. When management resorts to special "morale building" programs this is an admission by management that it has not assumed fully its inherent responsibilities. Or, at least, has not redeemed them.

6. The state of morale is dependent upon the day-to-day, year in and year out, mode of operation in the organization.

7. The questionnaire method of attempting to determine the morale level should not be necessary and the validity of the information thus obtained may be subject to considerable question. There are numerous indications, which are readily discernible in the course of routine operations, reflecting the true situation.

8. The state of morale represents one of the most valid indicators of the quality of management that is present, and it represents a sound criterion for determining the competency level of the individual manager.

9. There is only one way to achieve a desirable morale state - through sound management.

#### COMPETENT MANAGEMENT PRESCRIBES DEFINITE STANDARDS FOR ITSELF

In many of our discussions which have occurred so far, and the same is true with respect to those which will follow, we have dealt with certain basic principles which must be adhered to, and with certain practices which must be followed in the course of adherence to those

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principles. It is, of course, of primary importance that each member of the management force be fully conversant with the principles to which we refer as well as with the ways of operating that are necessary to insure adherence to them. But this knowledge, on the part of each individual manager, is not of itself, entirely adequate.

There is always present the opportunity for individual misinterpretation and for variation in interpretation. And it is not feasible to presume always that people will operate in a manner that is in full accord with prescribed policy and practice even though no major element of uncertainty exists with respect to their understanding of those expressed determinations. It is necessary to apply control measures for the purpose of determining how closely the actual conditions conform to those that were prescribed.

For these and possibly other reasons it is necessary that management standards be prescribed. The responsibility for doing this rests with management. It is management's function to enumerate the conditions that it must meet in order for it to be operating at a level that is acceptable to itself. Obviously, as the responsibility for establishing these standards rests with the people to whom they apply, the hazards that are inherent in the process are not only obvious, but are very real. Our next discussion will deal with this important management area.



UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 12 - THE RELATION OF MORALE TO MANAGEMENT

WORK ASSIGNMENT

1. Briefly describe your views as to the meaning of the term "morale" with relation to the individuals who are engaged in a cooperative undertaking.
2. Describe several of the more important determinations that you would make in arriving at a valid conclusion with respect to the morale state in any organization.
3. Assume that you have been assigned as the administrative head of a sizeable operation which you are to administer with the staff currently at hand. Your immediately subordinate force consists of six division directors. Within a very short time it becomes evident to you that a deplorable state of morale exists in five of these six divisions. Briefly describe the action you would take to correct this situation.
4. Briefly describe at least five routine administrative practices which you consider to be essential in order to maintain a desirable state of morale.
5. Briefly describe several of the most obvious benefits which result when a highly desirable state of morale is developed and maintained.



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PERSONNEL DIVISION



CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 13  
STANDARDS OF MANAGEMENT

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WASHINGTON, D. C.  
1957



UNITED STATES DEPARTMENT OF AGRICULTURE  
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IN  
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SECTION 13  
STANDARDS OF MANAGEMENT

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WASHINGTON, D. C.  
1957

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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 13 - STANDARDS OF MANAGEMENT

How good is our management? This seems to be a logical question for most anyone to ask. And it is probable that, almost without exception, an answer would be given without hesitation. But how certain could we be that the answer would be correct? Before anything can be judged as to its acceptability, its quality, some sort of measure must be applied. Something must be used against which a comparison is made. A yardstick is necessary. And when more than one person is involved each one must use the same yardstick. Otherwise, each will come up with a different answer even though the conditions under consideration are identical. In any co-operative undertaking the people involved in it need to be operating according to a set of objectives, a set of standards, which are reasonably uniform.

The area of management is no exception. For certainly there is no undertaking demanding the inherent factors of cooperation and integration to a greater degree. Naturally, in this discussion of standards, it is essential that we consider virtually every primary element in the management function. And we need to recognize that, almost without exception, some of these elements are present, to some degree, in the job of every manager. But we need to recognize too, that there exists a considerable





variation between individual managerial jobs with respect to the scope and relative importance of these various elements.

For example, let us consider the question of direct supervisory responsibility as it relates to the several management levels. The first line supervisor devotes almost all of his time and effort to direct supervision. Unit heads at the next higher administrative level are involved somewhat less in direct supervision and devote a little more of their time and effort to some of the other administrative functions. Following this still further, it is obvious that the volume of direct supervision decreases within each of the successively higher levels of the official organizational structure. Nevertheless, even though the volume of direct supervision lessens as we ascend up through the several administrative levels, the importance of quality of supervision does not correspondingly decrease. It might not be inappropriate to say that the importance of supervision quality increases at and near the top. Consequently, we recognize that supervision standards are necessary at every level even though the emphasis at all levels is not equal. It is also evident that standards for certain of the administrative elements are uniformly applicable at all levels.

In addition, we need to consider just what we mean by management standards, how formalized they need to be, the purposes they will serve, the degree to which they should be adhered to, and other similar matters.

#### WHAT WE MEAN BY MANAGEMENT STANDARDS

There is general agreement that standards are necessary in connection with a great variety of other types of operations. This need is never questioned and the establishment of other types of operating standards is accepted without challenge. We are all familiar with the standards which are in force with respect to nearly all types of commodities in order that





the product, whatever it may be, will meet certain requirements which have been previously determined as being necessary in order to insure the providing of that which is needed for the particular purpose. We have standards for bridges, roads, automobiles, clothing, food, drugs, auditing methods, vouchering practices, equipment maintenance, and ad infinitum. In each instance, the standard that is established represents, briefly, a condition which is acceptable. Of course, it is not unusual for such established standards to permit of some variation, some degree of tolerance in both directions. However, in almost every instance the result is not acceptable if the condition falls too far below or exceeds too greatly the standard that was set.

The same basic considerations apply in all respects with relation to the field of management. And for the same reasons as is true in the other areas we mentioned these management standards need to be conditions which are clearly understood and fully attainable. Needless to say, a standard which is all out of proportion to the required result, whether it relates to the circumference of a grapefruit or the qualifications of a person for a job, are doubtless more deterring than beneficial. And in no area is it sufficient to merely state that a high quality product is necessary. Similarly it would be meaningless for a manager to inform his people that he will insist that they operate in conformance with sound management practices, and let it go at that. He must be much more specific and spell out, in sufficient detail, just what he expects in order that his people will know, without question, what he expects of them.

Right here, it might be well to point out that standards, in one form or another, are always present. Whenever a person classifies anything in a relative way, as being good or bad or big or small, he is making a comparison with something. And that something, no matter how vague or



the product, whatever it may be, will meet certain requirements which have been previously determined as being necessary in order to make the product acceptable to the consumer. It is not necessary that the product should be perfect in every respect, but it must be such that it will be accepted by the consumer. The standard of acceptability is determined by the consumer, and it is the duty of the producer to meet this standard. The standard is not a fixed one, but it is a moving one, and it is the duty of the producer to keep up with the times. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard.

The same basic considerations apply in all respects. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard. The standard is not a perfect one, but it is a practical one, and it is the duty of the producer to meet this standard.

Right here, it might be well to point out that standards, in one form or another, are always present. They are not always written down, but they are always there. They are the standards of the market, and they are the standards of the consumer. They are the standards of the producer, and they are the standards of the distributor. They are the standards of the wholesaler, and they are the standards of the retailer. They are the standards of the manufacturer, and they are the standards of the consumer. They are the standards of the producer, and they are the standards of the consumer. They are the standards of the producer, and they are the standards of the consumer.

inappropriate others may think it to be, must be classed as a standard. In management we are not concerned with the presence or the absence of standards because there is nothing we can do about that. But we are much concerned about the presence of adequate and suitable standards prescribed properly by competent authority.

WHAT HAPPENS WHEN SUITABLE MANAGEMENT STANDARDS  
ARE NOT PRESCRIBED?

It is not difficult to visualize the circumstances that are certain to prevail under a condition such as this. The consequences are essentially the same as those which are virtually certain when any other needed policy has not been stated. We have policy statements for most everything else, including the handling and processing of material things, so it would seem that it would be at least equally necessary and appropriate to have clearly defined policies for the handling of people. But when we do not, we may be reasonably assured that at least some of the desired conditions will not prevail.

Each Employee Will Develop His Own Standards:

The individual employee has no alternative but to go ahead and do the best he can to determine what he should do to satisfy the people who need to be satisfied. He may base his determination on a number of factors. His personal likes and dislikes will enter into the picture in a big way. Or he may attempt to operate the way he thinks his boss wants him to. But because he has not been told the employee is only guessing about what his boss wants, and he will, at times guess wrong. Obviously, the employee is operating under a disturbing handicap. A handicap which exerts a very deterring influence upon his efficiency. Under such a condition as this it

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seems readily evident that the superior officer is hardly justified in reacting unfavorably when, in the opinion of the superior, the subordinate is producing results which are, in the superior's opinion, only mediocre or unsatisfactory.

#### Requirements Will Not Remain Consistent:

Practices, conditions, and results wholly acceptable today may be unsatisfactory a short time later. Naturally, the way of doing things will always be changing somewhat and the results that are produced will not remain uniform. But the most costly effect is in the form of the frustration of the individual worker. He may have thought and perhaps rightly so, that he was operating in a proper way and then, with no advance warning, with no opportunity to modify his actions, would learn that he should have been doing things somewhat differently. Again, an individual who is compelled to operate under such conditions is seldom subject to justified censure. He is the victim of circumstances over which he has no control.

#### Standards Will Differ in the Same Organization:

The standards which are in effect,      because they reflect the independent thinking of individuals, will not be sufficiently uniform at the several administrative levels. And this same absence of uniformity will, to at least some degree, exist among the several units at the same organizational level. This lack of reasonable uniformity between levels, and between parallel organizational units, will obviously result in variation in the way things are handled under similar sets of conditions. Communications will always be effective enough so that the people involved will be familiar with the fact that variation does exist. They will also be aware of many of the details of these variable practices. It is just human nature for individuals to make comparisons and to classify as the more desirable





those things which they look upon as being more favorable to them personally. Employees will wonder why it is that the people in certain other units receive more favorable treatment than they do. They will be inclined to compare conditions in one outfit with another and will form definite opinions about the desirability of working in one outfit or another.

Also, under this condition subordinates will be confronted with different requirements when they operate under different supervisors within the same organization. Whenever the boss changes it will be necessary for the members of the unit to modify their way of doing things in order to conform to the way the new boss wants things done. It is obvious, of course, that even under the most desirable conditions the individual viewpoints of managers will be far from identical. However, these differences will assert themselves to a much greater degree in the absence of at least a general prescription which has application well beyond the limits of the individual work unit.

The results of this type of situation, with respect to individual employee performance, are quite evident. The employee will be required to undergo a rather substantial change in operating practice during each period of transition occasioned by reassignment to another part of the organization and when each new boss comes on the job. We will all agree that we need to overcome the resistance to change when changes are justified in the interests of improvement and progress. However, radical change in operating practice occurring with comparative frequency solely by reason of reassignment or different supervision result in substantial additional costs and efficiency impairments which are without full justification.





Fully Effective Control Will Be Virtually Impossible:

The control function, of course, is accomplished by comparing conditions as they exist with those which were prescribed. It seems very clear that conclusions which are in substantial disagreement will often result in the absence of something that is reasonably uniform against which comparisons are made. When each of the individuals performing the control operation are comparing what they find with standards which are different.

There are innumerable instances that could be cited which reflect the consequences of this type of situation. Here is one that occurred quite recently. An official of the headquarters office had occasion to visit a field project. He spent sufficient time with the project manager and his people to become adequately familiar with the management practices that prevailed in that unit. It was his conclusion, and he so reported, that the unit was being managed in a wholly acceptable manner. He was convinced that the quality of management was somewhat above average. Very shortly thereafter another individual from the same headquarters spent considerable time reviewing the same field operations. It was his conclusion, and he so reported, that the quality of management was decidedly substandard. The process was repeated by still a third official from the central headquarters. It was his decision that the outfit was being run pretty efficiently although his reaction did not appear to be quite as favorable as that of the officer first mentioned.

Here we have one work operation, under one head, involving the activities of a sizeable employee staff. The set of conditions observed by the three outsiders was, for all practical purposes, identical. However, the reactions of these three people, with respect to the quality of management present, were dissimilar. And the views of two of them were in





substantial conflict. Certainly, the evaluations of all three could not possibly be accurate. Possibly all three were wrong. But each of the three thought his determination was correct and that is probably true, based on the standard each one was using. But the important point is that the results were of little value either to the head of the unit under consideration or to the headquarters superior of that unit head. Actually, the situation proved to be quite disturbing to a number of people and could have, but fortunately did not, result in rather drastic consequences of questionable justification. This case typifies the almost inevitable consequences when management has not prescribed definite standards applying to the work to be carried on.

STANDARDS ARE NECESSARY FOR MANY  
REASONS

We need them in order that all who are responsible may have a clear and reasonably uniform and consistent understanding of what is wanted. We must know what is wanted before it is possible to proceed with the doing of that which is required in order to achieve what is wanted. We need to be able to determine when, in our judgment, we have reached our goal. And to be able to identify what is missing when we fail to reach our goal. We need to be able to determine, with a reasonable degree of assurance, what is right, what is wrong, what is good, and what is less than acceptable. We need to be able to evaluate, with a degree of accuracy that is influenced only by our judgment and the judgment of others, how properly we are operating and the relative acceptability of the results of our efforts.





## CHARACTERISTICS OF EFFECTIVE MANAGEMENT STANDARDS

The characteristics which are suitable and essential in this instance are basically the same as those which are required with respect to any other policy. Naturally, a prescription that is too general in character and scope will not satisfy requirements. It would be insufficient to merely state that we want our management to be sound and appropriate in all respects. Interpretation would then be as variable as the viewpoints of the individual managers as to what constitutes good sound management. That sort of a statement would be all right as a brief preamble. But it is essential to describe in adequate detail, each of the primary elements which, in the aggregate, make up the manager's job.

The standard needs to be formalized to the necessary degree as dictated by individual circumstances. Organizational size, degree of dispersion, diversity of operations, experience and other qualifications of individual managers, recency of creation of the organization, acceptability of already established precedent and practice, and other like factors need to be taken into consideration.

The provisions which are enumerated should be positive and clear cut, leaving a minimum of opportunity for doubt as to the intended meaning, as to what is wanted. The statement should be sufficiently complete but, at the same time, not so detailed that it will be bogged down under its own weight. And within reasonable limits should provide ample opportunity for the exercise of individual initiative and discretion.

Naturally, the set of requirements that are prescribed need to be realistic and attainable by those from whom conformity is demanded. The stated requirements should reflect a reasonable degree of consistency as well as appropriate uniformity for all of the administrative levels to which they apply.



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HOW MANAGEMENT STANDARDS SHOULD BE USED

The stated policy, the standard, should be utilized in the same manner as other mandates applying to other features of the operation. It is the official guide for those to whom managerial responsibility and authority has been assigned. It tells them how they are expected to function and what results are expected from their official efforts. Naturally, the standards that are prescribed must be available to every manager. And each has the individual responsibility of becoming familiar with requirements, of maintaining that familiarity, and of operating accordingly.

Naturally, each administrative official utilizes the established standards in carrying out his control function. He compares the way in which his subordinate managers operate with the manner in which they have been instructed to. This is accomplished in the course of day-to-day association and in conjunction with periodic inspections of more formalized character. When any discrepancies are noted there is full opportunity to bring about remedy through explanation or other suitable means. The wisdom of prompt correction is, of course, clearly evident. Toleration of lack of adherence in any phase will usually result in jeopardy to other areas of responsibility.

There will be times, of course, when it is determined that the standard that has been established is not entirely appropriate. This may be due to changes in personnel, in the work operations, in the organizational structure, or any of a number of other similar circumstances. When it becomes evident that modification of the prescribed standard is desirable that action should be taken without delay. For, like any other policy, its effectiveness, its usefulness, is no greater than its appropriateness and the degree of adherence to it. The policy should dictate the practice, rather than the practice dictating the policy.





### WHC SHOULD DEVELOP MANAGEMENT STANDARDS?

The answer, of course, is that this job should be done by those who take part in the formulation of other policies and practices which apply to their operations. It is the function of the manager and of the members of his staff. The staff should be utilized here in the same manner as it is in relation to other activities carried on by the organizational unit. There are, of course, many good reasons for handling the job in this way.

When the entire staff takes part the finished product will be a better one. When the manager tries to do the job all by himself he has only his own relatively limited resources to draw from. And possibly of equal importance is the fact that participation by subordinates will result in more willing acceptance by them of that which is decided upon. They will have a better understanding of the reasons behind these decisions. They will entertain the justified belief that they contributed to the finished product. As a consequence, subordinates will not only more willingly accept but will more efficiently carry out the final determinations for they not only have a clearer understanding but they have a personal responsibility for seeing that things are done the way they themselves decided they should be. This is just good management for it insures the proper utilization of the subordinate group. And if there is any place where subordinate participation will pay dividends it is here. In providing to managers the opportunity to determine the management policies and practices that are adopted.

### STANDARDS ARE REQUIRED FOR EACH SIGNIFICANT ELEMENT OF THE MANAGEMENT FUNCTION

We mentioned earlier that in the development of management standards each of the primary elements of the manager's job needed to be taken into consideration. This is necessary, of course, in order to be reasonably certain that all managers are informed completely with regard to the





management policies of the organization.

The following represents certain sets of conditions which are desirable and which normally, constitute attainable management goals. We have tried to include most all of the conditions which will prevail in any well managed organizational unit, almost without regard for its size or its character of operations. These are typical of the circumstances which every administrative official should attempt to develop and maintain. And he should be unwilling to permit deterring obstacles, particularly those which stem merely from an active imagination, to disrupt his efforts to achieve them. While some attempt has been made to arrange these major components in the order of their relative importance, in a normal situation, the order in which they appear should not substantially influence the relative attention they receive. They are all important but seldom, if ever, will their comparative importance in any two organizational units always be identical. This means, of course, that more emphasis should be placed where more emphasis is needed.

It is not intended, or recommended, that each of the individual conditions, circumstances, attitudes or practices listed for each of the major subdivisions should be incorporated in the formal document depicting the organization's management policy. This detailed breakdown is provided here primarily in an attempt to insure clarity and completeness. In developing his statement of policy the individual manager will want to select those specific items which are most appropriate for his particular operation. Some of these items should be combined. Others will need to be added. Some will be elaborated upon. And it may be determined that certain ones should be omitted. The extent of exclusion, inclusion, and expansion will depend upon many factors relating to the characteristics of the organization as well as the particular administrative level to which the





resultant standards have application.

A. Facing Issues:

It might appear to be unnecessary to devote any great amount of time to such an obvious requirement as this one. However, it is given the number one position for the reason that it is such an essential basic consideration. It requires but little observation to determine rather conclusively that a great many of the problems in some organizations are allowed to continue indefinitely, or at least sometimes appears to be indefinitely, principally for the reason that no real attempt is made to correct them. It should be very evident to all of us that concern about, and attention to, any problem must precede any logical attempt at orderly solution.

There are numerous reasons why the facing of issues is an indispensable prerequisite to competent management. Reasons beyond the scope of the particular situation. The experience gained in the handling of problem situations represents one of the best, possibly the best, sources of material on which to base improvement and progress. Whenever a manager is confronted with a difficulty, something which he is convinced needs correction, his first thought is to do whatever needs to be done to change the situation so that it no longer causes him concern. But that represents only a small part of his job. Of still greater importance is the determination of the cause and then taking positive action to reduce the possibility of a recurrence in the same place in the organization as well as in every other place which he considers to be vulnerable. Problem producing knowledge must be utilized. Utilized to the fullest degree commensurate with the benefits to be gained.

The American Medical Association is a non-profit corporation organized for the purpose of promoting the interests of the medical profession and the public. It is the largest and most influential of the medical organizations in the United States. The Association's primary concern is the advancement of the medical profession and the improvement of the medical service to the public. It does this by representing the medical profession in its relations with the government, the public, and other medical organizations. It also promotes the highest standards of medical education, research, and practice. The Association's activities are carried out through its various departments and committees, which are composed of representatives of the medical profession and the public. The Association's financial resources are derived from the contributions of its members and from the sale of its publications. The Association's income is used to support its various activities and to maintain its headquarters and offices. The Association's policies and procedures are determined by its members, who elect representatives to its governing bodies. The Association's actions are subject to the approval of its members. The Association's success is measured by the extent to which it achieves its purposes and by the respect and influence it commands in the medical community and the public. The Association's history is a record of its growth and development, and of its contributions to the medical profession and the public. The Association's future is bright, for it is the only organization of its kind in the United States, and it is the only organization that is dedicated to the advancement of the medical profession and the improvement of the medical service to the public.

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The following is a breakdown of the individual circumstances that should prevail in this important area:

1. No evidence of the attitude that "the time cure" is the proper form of treatment for virtually all ills.

2. No substantial evidence of the practice of rationalizing that the best way to handle any problem is the way which appears, at the moment, to be easiest.

3. Conditions of concern are approached, by the proper people, promptly, positively, and in accordance with a well thought out plan of action.

4. All pertinent facts are obtained and are accorded appropriate consideration in arriving at a timely and considered decision. In many instances there exist extenuations, unusual or abnormal conditions, which contribute to, or have bearing upon, the situation of concern. These unusual factors are recognized and are given appropriate weight in deciding upon courses of action.

5. All of the people involved, all those having legitimate interests, are given full opportunity to contribute their views.

6. Decisions are arrived at by logical reasoning, by appropriate consideration of the true facts, rather than by intuition.

7. The decision that is arrived at is put into effect as promptly as is practicable.

8. All individuals affected by the decision are promptly and fully informed. This practice is followed even though the decision may be not to decide upon a positive course of action right at that time. To decide not to decide is, at times, a positive and legitimate course of action. But the important thing is to see to it that the people concerned understand that the lack of action is based upon a definite decision to do just that. Without this

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The names of the persons who were present at the



information they will conclude that there is no action because there has been no decision.

9. If the decision that is arrived at requires the taking of what is too prevalently looked upon as "distasteful" action, such action is taken by the appropriate official. A serious managerial weakness is not evidenced by assigning to a subordinate officer the job of handling an undesirable task.

10. There is always the desire, not just the willingness, to hear and consider subordinate viewpoints. Even though such viewpoints may be in substantial conflict with standard policies, practices, attitudes, as well as in conflict with the views of the superior officer.

11. The experience and knowledge gained in the handling of the case are utilized to the fullest extent, as the basis for preventive measures, throughout the entire organization.

B. Consideration of the Individual:

The capable manager always recognizes that every subordinate is just as human as is the manager. The manager understands that his success is measured by the proficiencies evidenced by the members of his subordinate staff. The superior officer realizes that he has no more important over-all function than that of securing the complete and effective utilization of the most valuable resource available to him, the people in his unit. The following are some of the conditions which must exist to insure the most effective performance by the members of any working group:

1. Each employee knows, at all times, how well his boss thinks the employee is doing his job. The superior and each subordinate freely discuss, with appropriate frequency, and frankly and forthrightly, the manner in which the subordinate is performing his work. The more important discussions are confirmed in memoranda to the subordinate, with copies





placed in his official personnel file.

2. The manager evidences, by action, sincere interest in the welfare of each of his subordinates.

3. It is the unit practice to provide substantial help to each employee in establishing and achieving logical career goals. The promoting of appropriate interests of the individual employee is considered to be an important official responsibility. It is the standard practice to furnish unit members with full assistance in obtaining justified advancements, without regard to possible current impacts upon unit operations.

4. Any action resulting from sincere and conscientious effort on the part of a subordinate is always backed up. He is never let down for doing the best he could under the circumstances.

5. Each employee respects and is a strong supporter of his supervisor.

6. Deserving commendation is always provided by the immediate superior and, when appropriate, the superior will arrange for such action to be taken by higher administrative officials. It is a standard practice to provide commendatory memoranda to the employee and to place copies in his official file.

7. With but occasional exception, individual employee personnel files contain a substantially greater number of memoranda reflecting approbation than those which are derogatory or are otherwise of adverse character.

8. Each employee freely expresses his views to his immediate superior and does not hesitate to criticize his supervisor's views and actions if the employee disagrees with them. The superior accepts the subordinate's ideas whenever it is feasible to do so and always makes known, with reasonable promptness, his decisions concerning subordinate's

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suggestions and the reasons on which those decisions are based.

9. The unit head "knows" his subordinates and deliberately contacts them with sufficient frequency to establish and maintain this relationship.

10. The superior always, without exception, treats subordinates with appropriate consideration, thus evidencing the recognition that the boss and his people are identical in one respect, they are all human beings.

11. The manager recognizes the existence of individual differences in temperament and personality. He is enough of a psychologist to know that people will frequently react differently to the same situation. He identifies extreme cases of temperament abnormality and takes positive steps to obtain competent assistance in dealing with such situations.

12. The supervisor always gives each subordinate full opportunity to tell his side of the case, to listen to views, ideas, suggestions, and criticisms. The supervisor is never too busy to listen for he realizes the irony of being too busy to do his job.

13. The unit head does not hesitate to take the blame in order to protect his subordinates when he believes that such action is in the best interests of the individual and the organization. He never passes the buck.

14. The promises the supervisor makes to his people are limited to those he knows he can keep.

15. The superior is fully aware that the performance of any individual is greatly influenced by his personal affairs. He evidences appropriate concern about the personal interests of his people but he knows where he should stop.

16. Each employee is not only permitted but is encouraged to try out his own ideas when they are not too far out of line.



17. A very liberal policy is followed with respect to permitting each employee to review the contents of his personnel file. Supplementary files containing material of a character which cannot be made available to the employee are maintained only to the extent that is unavoidably necessary. Unjustified criticism, unsupported charges, inaccurate statements, and other similar material is not allowed to become a part of any personnel file

C. Delegation to Subordinates:

The supervisor of any subordinate group of employees is incapable of performing, alone, the work of his unit at acceptable quantitative and qualitative levels. Every individual with managerial responsibility must effectively delegate to subordinates in order to perform in an efficient manner. Delegation is considerably more than merely telling the subordinate that he is to do something. The work responsibility must be assigned together with the required authority to enable the recipient to carry out the assignment. After that is done the manager must not only permit but must require the performance of the assignment without encroachment or interference by him. Effective delegation requires adherence to a definite pattern, beginning with the initial action and ending only when the delegation is withdrawn. The following represent some of the more important conditions which must exist to insure the presence of a condition which is acceptable to the superior, the subordinate, and the organization:

1. Actions of the unit supervisor clearly demonstrate his complete awareness that effective delegation is essential to efficient performance by him and by his people.

2. Delegation within the unit exists to a maximum degree consistent with the interests of the organization, the interests of the individual, and the qualifications of the individual.





3. Delegation of responsibility is always accompanied by delegation of appropriate authority. No person is held responsible for any situation over which he has not been granted complete control.

4. The extent and character of delegations are fully understood by the superior, the subordinate, and affected co-workers.

5. All delegations of major scope, and all others about which uncertainty might possibly exist, are formalized in writing.

6. The limits of all delegations are clear, positive and specific.

7. Superiors encroach upon delegations to subordinates only in clearly justifiable emergencies. And under these circumstances they promptly provide the affected subordinates with full explanations.

8. Special interests of the superior in specific operations or functions, which exist by reason of his experience or previous specialty training or for any other reason, are recognized, and are appropriately subordinated in the interest of over-all organization objectives.

9. Adequate control is constantly maintained to insure adherence to the established pattern. Departures and violations are promptly and appropriately dealt with, with the possible deterrent effect upon the established pattern representing the element of major concern, rather than the incident itself.

10. The practice of "preferential" delegation is followed to an appropriate degree, thus applying the sound concept that the extent of delegation is not inherent in the position and is influenced by the qualifications of the incumbent.

11. The withdrawal of delegation, in whole or in part, is as definite, as complete, as the original granting of it.

The American Medical Association is a non-profit corporation organized for the purpose of promoting the interests of the medical profession and the public health. It was founded in 1847 and has since that time been engaged in a constant effort to improve the medical profession and to protect the public health. The Association is composed of members from all parts of the United States and from all branches of the medical profession. It is organized into a hierarchy of local, state, and national associations. The local associations are the primary units of the organization and are responsible for the promotion of the interests of the medical profession in their respective communities. The state associations are organized to represent the interests of the medical profession in their respective states. The national association is the highest authority in the organization and is responsible for the promotion of the interests of the medical profession in the United States. The Association is engaged in a wide variety of activities, including the publication of the Journal of the American Medical Association, the holding of annual conventions, and the promotion of medical education and research. It is also engaged in the promotion of public health and the protection of the public interest. The Association is a powerful organization and has been successful in many of its efforts. It is a source of pride and honor to all members of the medical profession and to all who are interested in the public health.



D.    Planning the Work:

The effective planning of any operation or group of operations is the first step toward the carrying out of those operations. Without a plan, or with poor planning, or with a good plan that is not used, the results are usually about the same. Objectives will not be clearly understood, responsibilities will be vague, the opportunity for adequate preparation will not always exist, and the degree of coordination of individual and unit effort will be less than fully acceptable.

Planning, just for the sake of doing the planning job, pays no dividends. Neither is there any one best way to develop a plan of work that will be equally effective in all situations. Nor is there a single design or pattern which the finished product should resemble. There are, however, certain basic conditions which must exist in order to insure that work operations are conducted in a logical and orderly fashion. Those basic conditions are reflected in a good plan of work which is nothing more than the orderly means to an end. The work plan is never the end in itself. Here are some of the conditions that are necessary to insure the development of good work plans and to insure their effective utilization in getting the work done.

1. The unit head demonstrates his understanding, by action, that planning the work of his unit is an integral and inseparable part of his job. It is not looked upon as something which has to be done because the big bosses want it or something to be handled in a perfunctory manner if and when there is time to do it.

2. The planning process itself follows a logical and orderly plan of action.

3. All who are concerned with the conduct of operations take part in the planning preparatory to their execution.

The first part of the chapter discusses the importance of the work plan in the development of a project. It is a document that outlines the scope, objectives, and tasks of the project. It is a tool that helps the project manager to organize the work and to communicate the project goals to the team. The work plan is also a document that is used to track the progress of the project and to identify any problems that may arise. The second part of the chapter discusses the importance of the work plan in the development of a project. It is a document that outlines the scope, objectives, and tasks of the project. It is a tool that helps the project manager to organize the work and to communicate the project goals to the team. The work plan is also a document that is used to track the progress of the project and to identify any problems that may arise.

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4. Work objectives are reflected clearly and definitely in the plan of work.
5. The plan is formalized, documented, to a desirable degree. It is sufficiently concise but important features are not omitted.
6. Feasible deadlines or target dates are set to an appropriate degree, whenever desirable in the interest of coordination and to insure a reasonable rate of accomplishment.
7. The provisions of the plan are realistic and are reasonably attainable.
8. All individual and unit responsibilities are clearly assigned.
9. Everyone concerned with execution is fully appraised of the provisions of the finished product. And the plan is utilized, by all who are responsible, as the official guide for the official activities in which they engage.
10. Long range objectives and operations are stated clearly but in a general way.
11. Short range objectives and operations are stated clearly and specifically, and in sufficient detail to provide real assistance in current scheduling and in making preparations for future work.
12. Adequate control is provided for by scheduling periodical comparisons of status and accomplishment to date with that which was planned for.
13. The work plan is appropriately revised when the interests of the unit will thus be best served. But changes in operation follow corresponding revisions of the plan, they do not precede them.
14. The acceptable relationship of time devoted to planning and to execution is recognized and adhered to. Unit operations are governed by



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the principle that its work plan is a facility which aids in accomplishment, rather than an accomplishment deterrent.

E. Communications:

The effectiveness of communications within any organizational unit determines, to a substantial extent, the efficiency of that unit. As the manner in which each activity is carried on is largely dependent upon the clarity of understanding of those individually responsible, it seems unnecessary to elaborate, to any great extent, upon the importance of good communications. Nevertheless, the true meaning of communications must be understood. We do not refer to the various communicating media with which we are all familiar. These are the means of doing the communicating job. They are the facilities that may be used. But all the facilities in the world could be readily available and still, in the absence of the basic requirement, a state of poor communications could exist. Basically, good communications are present when the proper attitude, the proper understanding, is present and when that understanding is activated by the utilization of whatever facilities may be necessary.

The following represents some of the conditions which must exist if this important phase of management, which in the final analysis determines the effectiveness of every administrative act, is carried out in an efficient way.

1. Major policies relating to all important aspects of the operation are developed, are issued to all who need them, and are understood by all to whom applicable.
2. Formalized instructions prescribing major operational practices are adequate, but they are not excessive, and are complete, readily understandable, and otherwise appropriate.





3. All employees evidence no reluctance to express freely their firm convictions.

4. There is free interchange of expression between line and staff and between employees at all levels with a clear understanding present as to what constitutes suggestion and advice and what constitutes directive.

5. The degree of formalization, of documenting, of information relating to unit operations is dependent upon the relative importance of that information and the application of this principle is acceptably consistent.

6. It is clearly evident that it is the standard practice within the unit to see to it that all members have all information they need to have and, in addition, all information they want to have that they have a right to have.

7. It is the exception for the understanding of the individual employee to be based on rumor rather than on established fact. Management officers give evidence of understanding that "the truth is seldom as bad as a rumor becomes."

8. There is positive differentiation between the communication policy and practices and the application of security regulations. The restricted distribution policy necessitated by virtue of security requirements, is not permitted to limit the dissemination of non-sensitive material.

9. Management officers consider it to be an integral part of their responsibility deliberately to anticipate developments of interest and concern to subordinates. And to see to it that such information, in complete and accurate form, is provided to such subordinates as promptly as conditions will permit.

10. Administrative officials follow the standard practice of keeping employees "up-to-date" on all matters affecting them, even though nothing new can be added to that which is already known. Managers operate on the





principle that, with relation to information the subordinate is entitled to have, the subordinate wants to know what his superior does not know as well as what he does know.

11. There is full recognition that the vitally necessary superior-subordinate relationship is placed in jeopardy when information is unjustifiably withheld from the subordinate staff. There is evidence of the clear understanding that the presence of any such practice will deter the flow of expression and will impair the feeling of mutual confidence, both of which are imperative to success.

F. Training and Developing of Subordinates:

No administrative official is charged with a greater responsibility than that of seeing to it that all those individuals in lower strata positions are adequately trained for their current and possible potential assignments. The attitude, the mode of operation, the proficiency of each individual employee are the direct results of some training influence. These influences are many in number and stem from a variety of sources. The major training influences experienced by every employee are those resulting from routine day-to-day operations. This means that every employee is subject to virtually continuous training. As that is true, and as the quality of the results of training represents an important concern of every manager, it is at once clearly evident that the routine way of doing things, the quality of management, is the primary factor in individual worker development. Complete recognition of that fact, by all managers, is essential to maximum efficiency in any cooperative undertaking. Some of the conditions which will produce optimum results are those enumerated in the following:





1. It is evident that managerial officials are fully aware that a training influence is exerted by every one of their acts.

2. There is full realization that the type of training received by an employee may be undesirable as well as desirable and a primary concern of the administrator is that training always produces desirable results.

3. There is full recognition that the day-to-day mode of operation of each superior officer, the quality of his management, exerts the strongest training influence.

4. Training efforts are formalized to the extent desirable and such formal group training activities are carried on only when such methods will produce better results at no increase in costs or acceptable results at less cost.

5. Formalized training activities are developed and conducted with specific, clear-cut, and realistic objectives in mind. Such activities are well planned, are carried out by well qualified people, and are otherwise efficiently administered.

6. Managerial personnel display a real interest in taking an active part in development of their subordinates, regardless of the position levels of such subordinates.

7. It is the established practice to utilize fully the increased skills and proficiencies individually acquired through both informalized and formalized training influences.

8. Rotation assignments and special assignments are deliberately provided to qualified employees in order that they may have the opportunity to grow. It is the standard practice periodically to assign to employees operations of greater importance and complexity in order to enable them to





expand their qualifications and become eligible for assignments with increased responsibility.

9. Problems which develop and deficiencies which are evidenced are carefully analyzed to identify their causes. And remedial training is promptly provided in order to reduce substantially the possibility of recurrence. It is clearly understood that evidenced deficiencies and problem situations represent the only valid bases for determination of training needs

10. There is no indication that managers suppress the development of subordinates based on the fear that the subordinate will become more proficient than his boss.

11. Lastly, but of great importance, there is the clear and complete understanding that full responsibility for subordinate training and development rests solely with line officers. And that staff officials are responsible only for providing the line officers with the assistance they need. And that responsible administrative officials do not permit this line responsibility to be removed from the line or to be accepted by the staff.

#### G.    Use of the Subordinate Staff:

The term "staff" as it is used here refers to those employees who normally serve as the immediate subordinates of the unit head. The staff group may include both line and "staff" officers. Originally, a staff was "something to lean upon." That meaning is equally applicable to organizational staff. The over-all function of the staff of a unit is to contribute in the manner prescribed toward the attainment of unit objectives. The effectiveness of staff utilization is dependent, in a very large measure, upon the managerial competency of the responsible administrator.

The manager should look upon his subordinate staff as the most important facility available to him. He should consider his staff as the

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means with which he carries out his mission. One of the most certain marks of managerial incompetency is less than full utilization of the subordinate group. There is every reason for utilizing it fully and no justification for less than complete utilization. When there is less than full utilization the number of alternative conclusions are few but positive. Possibly the manager does not understand his job. But if he does, about the only conclusion that can be arrived at is that he does not fully comprehend the relative capabilities of himself as an individual and of his people as individuals and as members of a collective unit.

Some of the conditions which must prevail in order to insure effective staff utilization are enumerated below.

1. The staff takes an active part in solving organizational and operating problems.
2. Details relating to a major problem are supplied to proper staff members in ample time for them to develop a course of action they think most appropriate to bring about an acceptable solution.
3. Virtually all ideas considered for adoption appear to originate with the staff rather than with the unit head.
4. The manager clearly recognizes that the collective minds of his staff members constitute a utility capable of producing results far beyond his own individual capabilities.
5. Staff members express their viewpoints freely, frankly, voluntarily, and without reluctance or fear of reprisal.
6. The ideas expressed by staff members are always given full consideration, are definitely accepted or rejected, and when rejected the necessity for such action is fully explained.





7. The unit head is fully aware that his success is dependent upon, is measured by, the accomplishments of his staff and he operates accordingly.

8. The unit head almost invariably gives deserved credit to one or more members of his staff and seldom, if ever, takes credit for himself.

9. The staff takes the lead in the development of policy, of practice and procedure. It is the standard practice for individual members of the staff to assume frequently the functions of the unit head for a limited period.

10. Through established reporting practices each member of the staff is kept currently informed of the activities of its other members.

11. The interests and attention of the manager are distributed among the functions of his staff members in proportion to the relative importance of each of these functions.

12. The unit head never encroaches upon the prerogatives, the responsibility, and the authority of the individual members of his group. He deliberately provides each staff member with the opportunity to demonstrate his competence in his specialized area even though the boss may, on many occasions, be fully capable of demonstrating the same degree of competence.

13. It is the well established practice for staff members to present to the unit head those problems on which they desire assistance, together with one or more possible solutions. As a consequence, the solution decided upon is almost invariably one that originated with a staff member rather than with his supervisor.

#### H. Organization:

Wherever there exists concerted and interdependent human effort those efforts must be well organized if they are to produce effective results.

The first point to be considered is the fact that the success of the movement is largely dependent upon the cooperation of the public. It is not enough to have the support of the medical profession, but it is essential that the general public be educated and organized to support the movement.

The second point is the fact that the movement is not a purely medical one, but a social one. It is not enough to have the support of the medical profession, but it is essential that the general public be educated and organized to support the movement. The movement is not a purely medical one, but a social one. It is not enough to have the support of the medical profession, but it is essential that the general public be educated and organized to support the movement.

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The consequences of faulty organization have been experienced time and time again. That experience pinpoints the many pitfalls which, if overlooked, will invariably result in substandard organization and the conditions inherent in it.

It has been long recognized and stated by authorities that any organization is a living and dynamic entity. It would seem that the term entity is appropriate inasmuch as the organization must operate as one unit rather than as a number of disconnected independent components. The effectiveness with which the people who make up the organization, their attitudes and their efforts, are molded together with a singleness of purpose determines the efficiency with which the mutual objective is met.

It seems to be very evident then, that each head of an organizational unit, each manager, needs to know what to do to create and maintain the condition which will insure the integrated effort which will produce optimum results. The manager must be capable of organizing his facilities. The following are some of the conditions and practices which must exist if the work unit is to become and remain effectively organized.

1. Officials with management responsibility are intimately familiar with the recognized basic principles of organization and accord such principles appropriate consideration in developing and maintaining the basic organizational structure for which they are administratively responsible.

2. Unit heads demonstrate, by their actions, their realization that an organization is never static. That it is subject to many influences and must be modified to conform to changing circumstances.

3. Line and staff officers take an active part in all organizing processes which may affect them and their operations.

4. All responsibilities of individuals and of work units are definite and clear.





5. All unit members clearly understand the structure of the organizational unit of which they are a part. They are acceptably well acquainted with the major aspects of the structure above and below.
6. All members have a clear understanding of their official relationships with superiors, subordinates, and co-workers.
7. The organizational structure is effectively depicted by charts or other suitable means and such information is possessed and appropriately utilized, by all who have need for it.
8. The basic structure is promptly modified when the need for such revision becomes evident. Departure from the prescribed pattern is permitted only when competent authority has decided that such departure will be adopted and that the structure will be revised accordingly.
9. There is full realization by every manager, that the organization pattern exerts considerable influence with respect to the overall function of administration. When administrative problems develop, which are more than minor in nature, the pattern of organization is carefully analyzed to see if the fault lies there.
10. The administrative head of the unit exercises constant control to make certain that there is careful adherence to the prescribed organizational pattern. Whatever action is necessary to effect remedy is taken with dispatch, whenever the pattern is violated. There is full realization of the necessity for adherence and equally full recognition that the condoning of a single unauthorized departure will virtually assure recurrences, with increasing frequency and severity.
11. The administrative head sets the proper example by careful adherence to the established pattern. He meticulously adheres to the chain of command, fully respects line and staff prerogatives and in the course



THE JOURNAL OF THE AMERICAN MEDICAL ASSOCIATION  
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TO THE EDITOR: I have a question regarding the treatment of

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of his routine operations and in other similar ways demonstrates the practice that is appropriate under the policy prescribed.

I. Discipline:

It would be almost appropriate to say that the total job of the manager is to direct and control. If he does a good job with respect to these two functions it is a virtual certainty that a state of acceptable coordination will be present. However, neither of these two major functions may be accomplished with acceptable results in the absence of discipline. The administrator needs to know that discipline is administered through instructions, orders, rules, regulations, inspections, awards, and penalties. He needs to know, as well, the ways in which discipline needs to be administered in order to produce the most acceptable results. The following are some of these conditions which, when they exist, indicate that the function of discipline is being administered in an acceptable way.

1. There is a clear understanding, as demonstrated by action, that discipline includes acts which are commendatory as well as those which are the reverse.

2. It is the standard practice to hand out reprimands and other penalties much more sparingly than approbation and other desirable types of disciplinary action.

3. It is clearly understood, as demonstrated by action, that the basic purpose of every disciplinary act is to benefit the organization and the principals concerned.

4. Discipline, in all its forms, is based on the principle that greater improvement in individual efficiency will result from efforts to further develop desirable qualities the individual already possesses rather than by the focusing of attention upon his deficiencies.

WPA 10-10-1968



5. Verbal reprimands and other similar penalties are always administered in the absence of those who are not principals in the case.

6. Reprimands and other disciplinary penalties which are documented are always phrased so as to avoid irritating and stereotyped statements. They are worded in such a way as to leave little opportunity for doubt, in the mind of the recipient, as to the nature of the action, the justification for it, and the purpose it is intended to serve.

7. All adverse disciplinary actions, both verbal and written, are free of caustic and irritating comments and expressions.

8. The taking of punitive action is governed by the principle that it is justified and proper when such action will result in substantial benefit to a substantial number of employees even though it may appear to have serious detrimental effects upon one or several.

9. There is full application of the principle that cases of "successful" violation are the ones demanding immediate attention. And that less severe penalties are frequently appropriate in cases of "unsuccessful violations," inasmuch as the violator, by virtue of his lack of success, has already been penalized to a degree.

10. There is full recognition, as demonstrated by action, that one of the most effective means of preventing major violations is by the prompt and appropriate treatment of less serious ones the first time they occur.

11. It is the standard practice to apply, to the extent practicable, the principles of "equal penalties for equal offences." However, there is equally conclusive evidence of the understanding that no two violations are ever identical. And that, for that reason, the literal application of the provisions of a "standard penalty chart" is a practice that is most inappropriate.

Verbal expressions and actions which are intended to cause harm or insult to the person to whom they are directed.

It is not necessary that the words or actions be intended to cause harm or insult to the person to whom they are directed.

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It is not necessary that the words or actions be intended to cause harm or insult to the person to whom they are directed.

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appropriate.



12. There is no evidence that it is the practice to install restrictive rules and regulations serving to penalize all or many in an effort to prevent the recurrence of violations by a few.

13. Adverse disciplinary action is always taken by the appropriate administrative official. Such responsibility is not "delegated" to a subordinate or to any individual not in the chain of command occupied by the recipient. Responsible administrative officers are jealous of their prerogatives in this respect and vigorously oppose the imposition of penalties on any of their subordinates by inappropriate line officers or by any staff officer except, of course, when the principal is a subordinate of the staff officer.

#### J. Coordination of Unit Operations:

The effective coordination of the activities for which the individual manager is held responsible is one of his important jobs. We feel confident that this statement will be construed as being in substantial conflict with others appearing elsewhere in this material. That is, however, not the case. Coordination is effected through deliberate efforts designed to accomplish just that. However, really effective direction and control will go a long way toward the accomplishment of the coordinative needs.

The detrimental effects of the lack of coordination are not only readily apparent but frequently produce consequences that are serious. Adequate preparation, timing, sequence of execution, clear assignments of responsibility, clarity of official relationships, and adequate control are some of the essential factors in every integrated operation. The following are some of the conditions that must obtain in order to insure an acceptable degree of coordination in the operations of any unit.





1. The administrative head demonstrates that he is fully aware that one of his major responsibilities is the effective coordination of the operations of his unit. The conditions that exist reflect that this understanding has prompted the manager's positive action in this respect.

2. The unit head deliberately selects and utilizes several effective methods for the primary, or for the sole purpose, of maintaining continuously, conditions which insure appropriately coordinated operations. The methods adopted may include well planned and conducted management conferences, during which official relationships are clarified and reclarified. There is full interchange of information concerning past, current, and planned activity. Organization charts are current, are fully utilized, and accurately and clearly depict the true situation with respect to responsibility and authority and other administrative relationships. There exists currently effective statements of policy establishing suitable administrative and functional standards. There is in operation an effective inspection system which insures adequate coverage, the full utilization of results and appropriate follow-up action. It is the standard practice to arrange for the timely dissemination, through appropriate media, of complete information to the extent determined not only to be necessary but desirable as viewed by members of the subordinate staff.

3. Logical work plans are developed and utilized by all who are, to a any appreciable extent, responsible for carrying out the work.

4. Departures from prescribed policy, practice, procedure and precedent are dealt with promptly and the desirable corrective action is taken in an expeditious and otherwise appropriate manner. The disruptive effect of such departures upon the prescribed pattern of operation, rather than the incident itself, represents the element of primary concern.





The experiences gained in handling instances of this nature are utilized to the maximum degree in the formulation and in the application of preventive measures designed to minimize the possibility of recurrence.

5. In the course of his routine day-to-day activities the head of the unit sets the proper example for his subordinates to follow.

#### K. Morale:

Unfortunately, it appears to be the too general impression that morale is something which may be positively delineated from the over-all area of management. That it is something which may be set apart and dealt with separately from the other management functions. Morale is an inseparable component of every management function. The morale state is determined by the quality level of the management that is present. High morale and efficient management are one and the same.

There may not exist a condition of high morale within an inefficiently managed organization. When the state of management is efficient that state of morale is inevitably high. High morale is relatively difficult to achieve and, fortunately, rather difficult to lose after it has once been obtained.

Lack of understanding of the true morale concept is probably the reason why it is not particularly unusual for some organizations to install specific so-called "morale-building" programs. Such efforts as these, well intentioned as they may be, seldom are of much value. They are often practically valueless because they do not influence, to any substantial degree at all, the basic causes which prompted their creation. . Frequently such "programs" produce effects that are the reverse of those desired. This is sometimes true because the average employee is inclined to resent, and rightfully so, any regimentation during the off-duty period.

The second part of the paper is devoted to a discussion of the possibility of a future design for a human being. In the course of his routine day-to-day activities, the designer is faced with the problem of how to design a human being for a future which is not yet known.

### Morale

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Perhaps a more fundamental reason for many of these efforts failing, however, is that the employee's primary concern is the kind of treatment he gets on the job. Anything that happens off the job, no matter how desirable it may be right at the moment, that does not furnish him the things he wants from his employment, are looked upon by the employee as being of superficial character. And as that is generally true such efforts represent matters of but negligible concern to the individual worker.

There are some very specific conditions, attitudes, and practices which must prevail in any organizational unit in order that an acceptable state of morale will exist. Here are some of those conditions.

1. By their actions, administrative officials clearly demonstrate their recognition of the true meaning of morale and the importance of establishing and maintaining it at a high level.

2. Administrators and supervisors are continuously aware of the true state of affairs and squarely face the actual situation that exists regardless of its character.

3. Managerial officers realize that efficient management insures high morale and that inefficient management insures low morale.

4. There is full awareness that planned "morale-building programs" represent a superficial form of treatment, may not be worth the effort, and frequently produce adverse effects.

5. There is full realization that organizational policy and routine operating practice are the fundamental influences which determine the state of morale of the unit organization.

6. Individual subordinate employees, and not the work those employees do, represent the item of first concern to each manager.





7. Employees freely criticize the organization to their superior officers and vehemently defend the organization to outsiders.
8. Superior officers welcome and receive substantial subordinate criticism and they use it.
9. The organizational unit never finds it difficult to recruit personnel of the type normally available. There is always a waiting list.
10. When it appears to the manager that an unacceptable morale state is developing he recognizes the certain cause and promptly takes positive action. He takes a thorough look at the quality of management in his unit, including his own methods of operation. And he makes full use of his staff to identify the deficiencies and to do his best to overcome them.

L. Control:

The administrative function is never carried out fully, and is therefore less than wholly acceptable, in the absence of truly effective control practices. By reason of a number of ever present influences no manager may ever presume that operations will be performed in a manner that is in complete agreement with prescribed policy and practice. It is necessary to determine how things are being done and how acceptable the finished product is. Many of these determinations are made while operations are in progress. These determinations are arrived at through the control process with inspection serving as one of the major means of maintaining adequate control. Lack of understanding of how things are to be done, lack of acceptance of instructions, and the absence of the required proficiency to perform at an acceptable level are just some of the reasons why the manager must maintain adequate control if he is to get acceptable results. Perhaps the most potent influence, however, stems from the frailties of human nature. And of no little consequence in this important area are the

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variable personality and temperament characteristics of every individual worker.

As control represents one of the complementary components of the total management function this component, just like each of the others, needs to be organized and otherwise administered effectively in order to get suitable results. The control operations need to be appropriately planned, need to be well organized, and need to be efficiently administered. And the control operations themselves need to be subjected to the necessary degree of control to insure the achievement of the degree of efficiency which has been prescribed.

A basic requirement to all control activities is the existence of standards for the policies, the practices, the procedures which, in the control process, are being looked into. For effective control is not possible in the absence of appropriate operational standards. Basically, the control operation consists of the comparison of things as they exist with the condition previously prescribed as acceptable. It is clear then, that no worthwhile comparison is possible unless there is present that which is needed, a standard, against which comparisons may be made.

The control function, just like any other, needs to be carried out in accordance with a reasonably uniform pattern as established by competent authority. This pattern of control operations must be based on prescriptions of policy, of practice, and procedure. In the following comments we will enumerate some of the conditions which are necessary to the efficient accomplishment of the control function as it relates to the organizational unit.

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1. Inspection is generally recognized as an integral part, an inseparable part, of the responsibility of each manager. The inspection activity is carried out as routinely as the other administrative operations.
2. Employees fully understand the inspection system that is in effect. They understand its purposes, how it operates, and, perhaps most important, they understand its value to them.
3. There is no evidence that employees consider inspection as a process designed to "find out what's wrong."
4. Periodic inspections are well planned, occur with appropriate frequency, are scheduled sufficiently in advance, and all the people involved are informed adequately and far enough ahead to permit such operations to be carried out in an efficient manner.
5. An appropriate amount of time is devoted to inspection and that time is definitely provided for in unit work plans.
6. Inspectors are well qualified, understand what the job is, are sufficiently familiar with the work, with the organization, and with operational standards.
7. Inspections are conducted by staff specialists to a desirable extent.
8. Inspections are conducted by responsible line officers to the desirable degree.
9. Inspection operations are well organized and conform to an adequately formalized plan to insure proper coverage and to avoid wasted motion.
10. All employees responsible for the operations inspected take part in the inspection and are given full opportunity to express freely their views.



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11. Inspection findings reflect the true condition as determined by comparison of the actual situation with the prescribed standard. The inspectors and those responsible for the operations inspected understand that variation from the standard, in either direction, may represent the existence of a less than acceptable situation.

12. It is the standard practice for inspectors to review thoroughly with responsible unit heads the findings accumulated in the course of the inspection, prior to departure from the unit.

13. Inspection reports are prepared with reasonable promptness, are acceptably complete, yet are devoid of any substantial amount of irrelevant material.

14. The reports enumerate actual findings, conclusions, and recommendations.

15. The reports reflect clearly conditions at all levels of acceptability, those which are considered to be outstanding, those that are acceptable, and those rated as not acceptable.

16. Inspection reports are furnished to appropriate line officers and, through proper channels, to the head of the unit dealt with in the report. The inspected unit head is given ample time, as well as reasonable deadlines, to explain his views as well as the action taken and contemplated with reference to the suggestions, recommendations, and directives resulting from inspection determinations.

17. Responses of the inspected unit head, to the appropriate line officer, are reasonably prompt and otherwise appropriate.

18. All items calling for positive action are kept alive until properly disposed of. Such action as is determined to be appropriate, whether it be the issuance of statements of commendation, remedial measures,

responsibility with her. The first is a responsibility in the course of which the doctor prior to her death was not the only

### 13. Inspection:

The inspection of the patient's condition is a very important part of the medical history. It is the only way in which the doctor can determine the actual state of the patient's health.

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or adverse disciplinary action are handled with reasonable dispatch and each action clearly indicates that employee and organizational interests served as the basic consideration in its development.

19. There is clear evidence that the experience gained in connection with inspection activity is utilized fully throughout the organization.

20. All aspects of each inspection are brought to a positive conclusion within reasonable time limits and all concerned are fully apprised of that fact. Nothing is left "hanging fire" for an unjustified period of time.

M. General Characteristics of the Organizational Unit Head:

These observations are presented under this caption principally for the reason that it would be difficult to otherwise classify them. The fact that they appear last is not to be construed as any indication of their lessened importance.

Inasmuch as the effectiveness with which any job or operation is performed depends very largely upon the qualifications of the responsible person, there seems to be every justification for developing at least general guide lines relating to the qualifications of the individual whose job it is to manage. The competent manager must possess certain basic qualities, and attitudes, and other characteristics. How effectively his unit runs depends in the final analysis, upon how well qualified he is to administer his unit. While a great deal can be determined, as to the efficiency of any organizational segment, by observation of its operations and the results it produces, a substantial bit of valuable and valid information is obtainable through observation of the characteristics displayed by the individual manager.

He needs to understand, for a variety of reasons, what constitutes appropriate attitudes, viewpoints toward his job, and operating practices. He needs to know these things in order that he may attempt to conform to

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the specifications laid down by superior authority. But he needs to know for another very important reason. With the exception of bottom level managers, first line supervisors, the real responsibility of every manager is to develop his subordinate managerial force. And there is some degree of responsibility in this respect resting upon the first line supervisor.

It is obvious then, that at least general standards, similar to the following, reflecting the qualifications required of administrative officials represent a highly desirable, if not essential, need in the policy framework of an organization.

1. The administrator views his job in its proper perspective; he is fully aware that his job is to administer an operation through his subordinate force.

2. The administrator understands that his job of management is as much a specialty as the numerous other specialized fields within the sciences, the professions, and the technologies.

3. The administrator fully recognizes that formal education and training in the field of management is frequently negligible as compared to the type of background possessed by those in other scientific, professional, and technological fields. He further realizes that, as a consequence, one of the major responsibilities of himself, and of each of his subordinate managers, is personal self-improvement.

4. The administrator is fully aware that his competency is reflected in the evidenced competency of subordinates. That this is the only way his accomplishments may be measured.

5. The administrator demonstrates that he is never too busy to discuss subordinates' problems, for if he entertains the view that he is too busy to do this he recognizes that he then considers himself too busy to do





his job. Anything of real concern to his subordinates is of concern to him.

6. The administrator fully recognizes that an inherent part of his job is to sit back, with desirable frequency, and deliberately take a look at his job and how he is doing it, appraising the results he is achieving by comparing those results with properly established standards.

7. It is clearly evident, by the manner in which the administrator operates, that his greatest interest lies in his people rather than in the work of his unit.

8. The administrator not only desires that the capabilities of his subordinates be fully developed and utilized but he operates, subject only to the limitations over which he has no control, in such a way that these things will be accomplished.

9. The administrator is never entirely satisfied with things as they are. He is always convinced that they can and should be better.

10. The administrator always sets the right example for his subordinates.

#### HOW TO USE THE MATERIAL IN THIS SECTION

It might appear, at this point, that the comments provided in this section are somewhat lengthy. As a matter of fact, the views we have expressed are far from complete. But we had no intention of trying to make them complete. It is evident, of course, that it would be impossible to discuss every possible situation which might exist in any kind of organization. It was our purpose to provide sufficient information to develop the need for standards and to point out the numerous ways in which their presence or absence influences the quality of administration that is present.





The material we have provided is intended to serve as a guide to administrative officials. It is true, of course, that some of the items presented here are appropriate, without change, for use in almost any organization. Nevertheless, conditions in any two organizations are far from identical in all respects even though they may, in many respects, be quite similar. Consequently, each manager, each unit head, must develop management standards which are most appropriate for his particular operation. Normally, it will be desirable to identify the elements of the management function which are of comparatively greater importance, in the particular situation, and place correspondingly greater emphasis upon them. And, like all other phases of administration, the detailed aspects will not remain static. The prescribed standards currently in effect need to be reviewed occasionally and appropriately modified to meet changing requirements.

It seems to be very clear that one of the first jobs of any manager is to prescribe something in the way of management standards. But again, like any other policy, the results of the first attempt do not, forever after, fully meet all future requirements. In any event, it will behoove every manager to determine if any of his real difficulties, or any problem situations which appear imminent, are occasioned by the absence of standards, the absence of clear knowledge on the part of anyone as to what is desired. When such a deficiency is determined to be the basic cause of the situation, then it is the function of the manager to take positive action to provide that which is lacking.



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SECTION 13

STANDARDS OF MANAGEMENT

WORK ASSIGNMENT

1. Briefly explain the reasons why it is necessary to prescribe management standards in the interest of efficient management.
2. Which officials of the organization should take part in the development of the management standards for that organization? Justify your views with a brief explanation.
3. Briefly explain several ways in which reasonably adequate management standards will improve organizational efficiency.
4. Briefly describe the relationship of management standards to the control function.
5. Enumerate at least five undesirable consequences almost certain to develop in any organization which attempts to operate without standards of management which are reasonably adequate.
6. Briefly describe at least three problem situations with which you are familiar, or which you can readily visualize, which you believe could be largely corrected by prescribing and enforcing relatively specific standards for managers of the organization.
7. In your opinion, are the standards of management established in the organizations with which you are familiar entirely adequate? If not, to what do you attribute this condition.







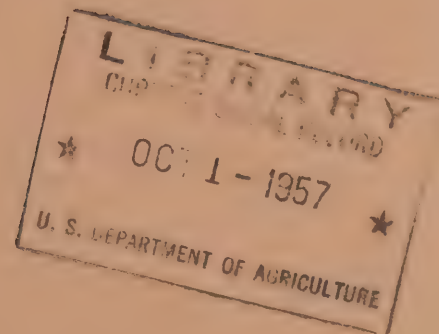




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SECTION 14  
INSPECTION IS ESSENTIAL TO SOUND MANAGEMENT

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WASHINGTON, D. C.  
1957



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WASHINGTON, D. C.  
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SECTION 14

AGRICULTURAL MARSHALL SERVICE

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CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 14

INSPECTION IS ESSENTIAL TO SOUND MANAGEMENT

WHAT DO WE MEAN BY INSPECTION?

Inspection is a control device which is virtually essential in the administrative processes of every successful enterprise.

Inspection may not be regarded as something that is separate and apart from the overall management function. But rather it must be recognized as an integral part of the entire process of management, a part which is inseparable from the remainder. Then, it becomes immediately evident that the total management operation is never complete when inspection is omitted.

For some reason there appears to be a rather deeply ingrained reluctance, in some organizations, to bring the inspection process right out into the open where it belongs. In those same organizations there seldom appears to be any reluctance whatever to issue statements of policy, of procedure, and of practice. Nor is there any hesitancy to participate in various kinds of conferences, to maintain profuse records, or to employ people or purchase things within the limitations of work requirements and budgetary restrictions. There is no justification for any more hesitancy with respect to the inspection of policies, methods, procedures, and work results.

The necessity for the inspection of material things which are the





results of "production" efforts is well recognized and generally is provided for. For example, automotive parts, food items, medicinal supplies and all other manufactured and processed commodities are subjected to one or several rigid inspections. The basic purposes of such inspections are to insure the production of an acceptable finished product at a justified and otherwise favorable cost.

It is equally important that the same degree of control be maintained over the services performed by an individual or by a group of individuals, even though the immediate or ultimate end product may be something much less obvious, perhaps less tangible, less "material" than manufactured items. The need for systematic inspections is equally great where the end product is a service to the public, a research finding, or an abstract creation possessing no material aspects which are obvious. For the basic interests of concern are, for all practical purposes, the same.

In some organizations some form of inspection activity is carried on under other names. Reviews and audits are examples. But regardless of what the operation is called it serves the same basic purposes and the processes, in their fundamental aspects at least, are identical. And the results that are achieved are not different. The name by which the process is called is of no particular significance.

#### INSPECTION IS AN INHERENT PART OF THE MANAGER'S JOB

Inspection is one of the three major functions inherent in any managerial assignment. It represents the major portion of the control function. When the things that are necessary to carry out the control function are not done an essential part of the job is left undone, a vital portion of the overall responsibility inherent in the job is not being redeemed.





In any organized undertaking acceptable achievement is not assured solely as the result of initial organization, staffing, and the issuance of policies, rules, regulations and procedures. This is true for a great many reasons. While these actions constitute essential administrative requirements they represent only the initial steps in the collective effort to carry the mission through to an acceptable conclusion. There is considerably more that the manager has to make certain is done.

To set up the organization, to employ and assign people, to issue instructions to those people, and then to presume that the organization will operate efficiently represents a view that is wholly without justification. For to anticipate such results, after doing only that much, involves a number of erroneous assumptions. Under such circumstances it would be assumed that the organizational structure as initially designed is acceptable, that the organization is adequately and suitably staffed, and that the prescribed policies, practices, and procedures are adequate and suitable. And there would exist the further assumption that the people responsible for applying the policies and procedures that were prescribed understand them, accept them, are capable of carrying them out and will carry them out. These things may not be assumed and there is no assurance that other influences will not appear which necessitate change regardless of how proper the original determinations may have been.

To attempt to operate an organization in this fashion would not be dissimilar to setting an ocean liner on a definite course out of New York Harbor and then providing no further attention based on the assumption that it would stay on the original course and reach its ultimate destination. Even though all known factors were given full consideration in





setting the initial course it could not be presumed that other factors exerting substantial influence would not make their appearance. It is necessary to realize that there will be other unforeseeable factors, that they must be recognized in time, and that they need to be reckoned with at the proper time and place.

#### What is the Basic Purpose of Inspection?

Briefly stated, the purpose of control, of inspection, is to help all who are concerned and responsible to perform in a manner that is considered to be acceptable, to attain individual and group objectives.

The inspection process in connection with any operation is basically the same, and is essentially this. It is the comparison of conditions as they actually exist with the conditions which have been previously prescribed as acceptable. Presumably, every employee is told in one way or another, at the outset, that it is his responsibility to accomplish certain things in a certain way at a certain time. This is usually true with respect to individual workers, as well as first line supervisors and "top" administrators. To do this, and this alone, is not of itself positive assurance that the things to be done will be done in the way they should be done. Those responsible for carrying out the operations may not understand clearly what is expected of them. They may not have the ability to meet the stated requirements. Or they may not have the facilities to accomplish what is expected of them. On the other hand, they may understand what they are supposed to do, they may have the ability and the required facilities to do it and may perform the job in a highly commendable manner.





But the responsible administrator should never assume that total accomplishment is assured merely because he has made the assignment. He needs to check to find out how things are being done and the results being attained. He does this checking through inspection. He goes to see how his people are operating and the results they are producing.

Of course, the administrator or the supervisor does not always make these determinations himself. Like all of his other responsibilities he may and usually does delegate considerable of this job to others. But regardless of who does the inspection job the true facts are determined, these facts are considered by the people responsible for the operation inspected and by other competent authority, and the knowledge thus acquired is appropriately utilized.

#### Inspection Versus Investigation

As we mentioned before, inspection is a routine operation, an integral, indispensable, and inseparable part of the overall management function. The process of inspection occurs with appropriate regularity as do staffing and planning and organizing and the several other similar administrative operations. On the other hand, investigation represents the process that is followed in connection with a more specific situation. Investigative action is often prompted by an actual or an alleged development or occurrence. Often there is involved possible violation or delinquency or negligence, or other types of substandard or irregular practice. Of course, the making of an investigation is equally appropriate in connection with much more favorable circumstances. Possibly it has been reported that an employee has performed in an exceptionally efficient manner and may be deserving of special recognition. In such a

The first step in the process of the operation is to determine the scope of the project. This involves identifying the objectives, the resources available, and the time frame. Once the scope is determined, the next step is to develop a plan. This plan should outline the tasks to be performed, the sequence of operations, and the responsibilities of the personnel involved. The plan should also include a budget and a schedule. After the plan is developed, the next step is to implement the operation. This involves carrying out the tasks as outlined in the plan. The final step in the process is to evaluate the results of the operation. This involves comparing the actual results with the planned results and identifying any areas for improvement.

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case it would be the standard practice to investigate the report to determine its validity, to gather essential data, in order that the action that is appropriate may be taken. In either case the primary purpose is the accumulation of the true facts in order to permit appropriate evaluation and proper action.

This difference between inspection and investigation could perhaps be pinpointed more clearly by illustration. For example, an individual accident causing personal injury or property damage would be investigated while the general safety situation within a unit would be determined by means of inspection.

This real difference between investigating and inspecting is something that every manager, as a matter of fact every employee, needs to fully understand. If this clear understanding did exist it is highly probable that many of the objections now existing, with respect to inspection, would be eliminated. For it seems quite evident that considerable of the stigma attached to the whole area of inspection results from the belief that its primary purpose is to find out what's wrong.

#### THE NECESSITY FOR DEFINITE STANDARDS

It is not possible to inspect properly any operation in the absence of clear-cut and positive standards applying to that operation. The people who have been assigned the responsibility for any activity are entitled to know, without any question of doubt, how they are expected to perform that activity and the results that are expected of them. Any administrator should, of course, recognize this fact. For it applies to him as well as to those he directs. He has the right to know what is expected of him and his people have the same right.



The first part of the paper is devoted to a general discussion of the problem of the origin of life. It is shown that the problem is not only a scientific one, but also a philosophical one. The second part of the paper is devoted to a detailed discussion of the various theories of the origin of life. It is shown that the various theories are based on different assumptions and that they are not mutually exclusive.

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### THE ORIGIN OF LIFE

The origin of life is one of the most important problems in science. It is a problem that has fascinated mankind for centuries. The various theories of the origin of life are based on different assumptions and that they are not mutually exclusive. The various theories are based on different assumptions and that they are not mutually exclusive. The various theories are based on different assumptions and that they are not mutually exclusive.

It is equally important that those who perform inspections have the same clear understanding, with respect to applicable standards, as those who are responsible for the operations under inspection. This can be accomplished only by prescribing definite standards with which both those responsible for the operations and those inspecting those operations are intimately acquainted. Obviously, if the inspector and those in charge of the operations inspected are comparing the latter's way of doing things and the results of their efforts with two different sets of standards any attempt at agreement is likely to approach the impossible.

This absence of uniform standards, the same standards for those whose operations are inspected and those who are inspecting those operations, is probably one of the most prevalent deficiencies. When this condition exists the individual doing the inspecting has to set his own standards. He has no alternative. For he has to compare his findings, that which he observes, with something. And that something, unless he has been given the information he needs, is based primarily on his own judgment. It is evident, of course, that the views of no two people, with respect to the best operating method or the most favorable result, will ever be identical. As a consequence, the standards against which actual conditions are compared are then as numerous as the inspectors who are making the comparison. It is very obvious that any inspection based solely on the individual views of the inspector may be of little value. In fact, as might be expected, such an inspection will often produce deterrent effects and it is not unlikely that the losses thus incurred will more than offset the benefits gained. There is no question that it is extremely unfair to both the inspector and the officer in charge of the

The first of the two specimens was a male, and the second a female. Both were found in the same place, and were of the same size. The male was found in a hole in the ground, and the female in a hole in the wall. Both were found in the same place, and were of the same size. The male was found in a hole in the ground, and the female in a hole in the wall. Both were found in the same place, and were of the same size.

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operations to require the application of standards which are not virtually identical in all respects. To permit such a condition to exist is clear evidence that a serious management deficiency is present.

### WHO SHOULD DO THE INSPECTING?

As is true of any other activity it is important that the inspection job be done by the right people. Of course, a considerable degree of control is exercised in the course of day to day operations even though the primary activity being performed right at the moment is not considered to be in the area of inspection.

It has been brought out a number of times before that control is one of the functions making up the overall management job. It is clearly evident then, that the responsibility for inspection cannot be removed, with success, from the individual who has the responsibility for seeing that the work gets done. There is a great deal of difference between doing the inspecting and having the responsibility for seeing that it is done. One of the dangers that is always present when experts outside the chain of command perform inspection work is that there is the strong inclination for them to assume responsibility, as well as authority, which properly rests with the superior line officer. For this and other related reasons it is unwise for a group of experts or for an inspection unit, both outside the chain of command, to be given anything approaching full responsibility for conducting inspections.

### The Manager Should Inspect

Inspection is a function of every manager. It is one of the important means by which he determines how well his people are carrying out





their assigned functions. The manager will, of course, want to do some of the inspection himself. The lower the administrative level he occupies the more he can do personally. The broader his managerial responsibilities the less opportunity for personal inspection by the manager and the greater the extent to which this function is delegated. Of course, the manager must retain all of the final responsibility even though he may, and should, delegate the inspection function to a substantial degree to appropriate subordinates.

The manager needs to know, and sometimes he has to find out first hand, how things are going in order that he may decide upon the courses of action that are proper and needed. The information obtained through inspection serves as a basis for rendering logical decisions.

But perhaps of first importance, of greatest benefit to everyone, is the creation of the proper relationship between the boss and his people. The boss gets to know them, to become familiar with the way they operate and develops a clear understanding of their respective jobs. The subordinate derives similar benefit because he gets to know the boss better, has a good opportunity to discuss his personal accomplishments as well as his problems. And particularly gratifying to the subordinate is the fact that the boss displayed real interest in the subordinate's work as well as in the subordinate himself, the one responsible for doing that work.

#### The Staff Should Inspect:

Inspections should be conducted by staff specialists. Normally, their inspections should be limited to the operations involving their individual functional specialties. These specialists are looked upon as





the experts, the ones who know the most about their respective specialized areas. They do not, of course, normally have line authority and during the course of the inspection can issue no orders or instructions and can make no operational changes. They do, however, have what is commonly referred to as the "authority of knowledge." For that reason, the line officer usually respects their judgment and gives full consideration to their suggestions even though the line official has the full right to accept or reject any staff suggestions which have not been ordered by administrative directive.

The staff officer conducts the inspection for the responsible administrative official. It is proper to follow this practice. For the administrator is not a functional specialist and as the staff officer is there is every good reason to utilize his specialized knowledge. During the course of the inspection the staff officer can often furnish technical advice and information that is of considerable benefit to those in charge of the work. But under these circumstances, those responsible for the work and the staff official doing the inspecting need to have a clear understanding as to their official relationships. The officer in charge of the operations usually respects the knowledge and judgment of the staff inspector, giving full consideration to his expressed views and suggestions. But the officer in charge exercises his right to accept or to reject. He is almost certain to get into difficulty, possibly of a serious nature, if he accepts as "instructions" all of the suggestions of the staff inspector.

Under some circumstances it is the practice, and the proper one if justified by the existing conditions, for staff officers to be given delegated authority permitting them to take positive action in specific

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functional areas. In many instances such specific delegations are clearly limited with respect to time, possibly until the completion of the project or of a certain phase of the activity. Such a practice may prove helpful if it is justified by the conditions that exist, if it is put into practice to a very limited degree, if it is the exception rather than the rule. But of extreme importance is the creation of a complete and clear understanding on the part of everyone involved as to the nature and extent of such special delegations.

#### Team Inspections:

In some organizations it is the practice to have inspection conducted periodically by "teams" comprised of individuals who are often neither responsible line officers nor staff specialists intimately associated with the operations being inspected. While there are both advantages and disadvantages associated with this practice, it is sometimes doubtful that, generally speaking, the gains offset the losses.

Those whose operations are subjected to inspections sometimes resent what they look upon as an intrusion by a sizeable group. When there is this type of reaction an unfavorable atmosphere is created at the outset which serves to nullify many of the benefits which would otherwise accrue. The major advantage of this practice is that the team members may bring in new and fresh viewpoints to a greater extent than other regular members of the immediate organization. The effectiveness of the inspection team will depend to a considerable degree upon the quality of its leadership and the clarity of understanding of team responsibilities and prerogatives.





### Lateral Inspection

The practice of "lateral" inspection is one which offers many advantages and virtually no disadvantages if properly administered. The primary advantages are those resulting from the training benefits to those who participate, the inspector, and those responsible for the operations inspected. This practice involves the inspection by a line officer of operations which are virtually identical to his own but for which another line officer at a comparable administrative level is responsible. For example, one "area" supervisor inspects the operations of another area which are very similar to his own. A state director inspects similar operations being carried on in another state. Or an individual responsible for or primarily concerned with one major function inspects the same type of operation being carried on under the direction of another official in another locality or in another segment of the organization.

The mutual benefits are numerous for a variety of reasons. The inspector has the opportunity to observe, at close quarters, the mode of operation of a comparable official with similar responsibilities operating under similar conditions and similar or identical policy. The official in charge of the operations under inspection has the privilege of finding out, first hand, from the inspector how things are done in his organization. The very nature of the conditions that exist creates an ideal setting for the exchange of information and views concerning common problems. A comparatively "uninhibited" atmosphere prevails.

### Inspection by "Outsiders":

It is hardly possible to overemphasize the necessity for every administrative official recognizing that inspection by him, and by his subor-





dinate managers, of the functions for which they are responsible, represents an official activity which must be carried out by them. Inspections by "outsiders," those having no official responsibility or authority with respect to the operations under inspection, may serve effectively to augment internal controls. But this practice should never be permitted to supplant, to any appreciable degree, the internal inspection function. For to remove this function from the scope of responsibility of the appropriate line officer would represent the imposing of a serious handicap upon him and upon the members of his subordinate staff. It would serve to deprive the individual of a component part of his total job, an essential element which no manager may do without. To deprive the manager of this portion of his responsibilities, as well as the authority that goes with it, represents the violation of a basic administrative principle. The principle involving the possession of sufficient authority to maintain adequate control over operations for which the individual is being held responsible.

#### BENEFITS RESULTING FROM EFFICIENT INSPECTION

The beneficial results we will enumerate are those which are brought about only when the inspection activity is conducted efficiently. Inefficiently conducted inspections, those involving improper practices, will often produce adverse results.

It is the manager's responsibility to see to it that a well defined and realistic inspection system is prescribed and is carried out in an efficient manner. As is true of each of the other elements inherent in the management function the inspection system needs to be established in the form of a definite statement of policy. And the instructions







necessary to insure the effective application of that policy need to be supplied to all who will take part, in any manner, in inspection activities. When a definite policy is not prescribed or is vague and when the implementing instructions are not sufficiently clear or complete it may be expected that inspection results will be similarly characterized. And when that is true it is probable that there will be a strong tendency to question the value of the inspection process. Under such conditions the tendency to question is prompted by the way in which the function is carried out. Then, of course, the practice itself, this phase of management, needs to undergo the improvement that is necessary to produce acceptable results.

The advantages to be gained from a good inspection system are many. Here are some of the more important ones.

1. A morale builder. The inspectors who are usually superiors or specialists, dig deeply into virtually every important aspect of the activities being carried on by the unit under inspection. By their actions, the inspectors evidence intense interest in the work of each employee. The morale of the individual worker is desirably affected for the reason that qualified officials have displayed considerable interest in the worker's operations, in the way in which he is performing the work and in the results his efforts have produced.

2. Basis for evaluation of individual performance. During the course of the inspection definite and valid determinations are made which serve as the sound basis for evaluating the performance of the individual employees responsible for carrying on the work. The thoroughness of the inspection serves to give assurance that the total job was looked at. As a result, those who are responsible for the evaluation of the





individual's performance will be able to base their conclusions on complete and factual data rather than on perfunctory observation, second hand reports, and unsubstantiated assumption.

3. Outstanding individual accomplishments as well as those employees who are qualified for more responsible assignments will be identified. In the absence of such a systematic appraisal of work operations and of the performance of those responsible many noteworthy accomplishments would probably never be brought to light. And many deserving employees would be deprived of the recognition to which they are entitled as well as advancement opportunities which they have earned.

4. Produces greater uniformity in operating practice. The singleness of purpose and the degree of mutual concern inherent in the formal inspection process create a most favorable setting for the exchange of information and views. The inspectors are usually familiar with the practices that are being followed and the conditions that exist in other similar units. They have the opportunity to make logical comparisons of the way similar operations are performed in different segments of the organization. By imparting this type of knowledge, and by offering helpful suggestions, considerable is done to bring about a desirable degree of uniformity.

5. Inefficiencies are revealed. Whenever conditions are discovered which appear to reflect deficiencies, in one form or another, the situation may be thoroughly reviewed right at the scene with those having the primary responsibility. As well, the responsible officer has the opportunity to ask for and receive advice and suggestions. He is privileged to furnish a full explanation of the conditions under discussion, and the



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circumstances surrounding them. And he is assured that what he has to say will be adequately and accurately documented for later consideration by competent authority. In addition, there is ample opportunity for those who are mutually concerned to explore fully the circumstances surrounding the substandard situation with the view of determining the basic cause and with the further view of arriving at a logical solution.

Competent inspectors will, of course, operate in such a way as to make certain that problem situations are brought right out into the open in order that they may receive full consideration. This means a great deal to the people who are primarily concerned about the circumstances that are considered to be somewhat less than acceptable. Unless local officers are given an opportunity such as this it is entirely possible that situations of grave concern to them might well continue indefinitely and might ultimately become so serious as to necessitate the taking of rather drastic measures by those in higher authority. With effective inspections conducted at appropriate intervals the principals having first responsibility are not only able to review their problems with other interested officers but they have the assurance that when their problems are of sufficient seriousness they will be brought to the attention of the right people before the elapse of an appreciable period of time.

6. Organizational weaknesses are revealed. Almost without exception, no organization remains indefinitely static. The many changes that are almost constantly taking place exert considerable bearing upon the question of the current suitability of the organizational structure. These changes occur in many forms. The character of the work program is modified. Present work activities may be expanded, or new activities may be added. Technological advances will bring about varying degrees





of modification in the way things are done. Changes in personnel are almost inevitable.

If these changes are gradual, as they often are, the need for corresponding organizational revision is often overlooked, particularly by those who are most intimately associated with the operation. As the inspectors are less susceptible to the hazards of propinquity it is evident that such conditions as these are more likely to be revealed during the course of a formal inspection than in most any other way.

7. Uniform consideration of work accomplishments. The officers who are directly responsible for the operations under inspection are assured of reasonably uniform consideration with regard to the determination of acceptability of the results of their efforts. It is assumed, of course, that the inspectors are qualified to do the job. That they are sufficiently experienced to evaluate properly the operating practices that are being followed as well as the results being achieved. And that they are reasonably well qualified to render valid opinions as to the relative acceptability of both practice and production. When that is the case, local officers have the satisfaction of knowing that a common denominator is being used in comparing their activities with positive standards and with other similar operations being carried on elsewhere in the organization.

8. Clears up misunderstandings. There is full opportunity to clear up any misunderstandings that may exist with respect to the job to be done and the standards which apply to it. Regardless of how well policies and instructions may be developed, and presented to those who apply them, it is almost certain that there will be some variation in the

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interpretation of those directives. Any differences of opinion, in this respect, between the inspector and those whose activities he is observing, will be brought to the surface. Those differences may be completely aired and if not satisfactorily resolved at that time are brought to the attention of higher authority for complete clarification.

9. An extremely effective training medium. Formal inspections, efficiently carried out, represent one of the most effective means of providing desirable training to all of the parties involved. Those who serve as inspectors encounter new situations, different attitudes, and varying methods of operation. They learn of different ways of producing equally acceptable results. They learn of methods which produce improved results as well as those which are obviously less suitable than some of the others with which they are familiar. In a great many respects the inspector acquires knowledge and broadened experience which serves to increase his qualifications for his current assignment as well as future ones.

Those in charge of the operations being inspected profit considerably from the information, views, and suggestions expressed by those doing the inspecting. Particularly their explanations of the practices of others who are engaged in similar work. In many instances, especially when the inspectors occupy staff positions, they are recognized as the organization's authorities in their specialized fields and are therefore qualified to make contributions of real value to the members of the work unit.

10. Unsound or questionable policies are revealed. In many organizations it is the standard practice to formulate major policies in the central office, with such policies disseminated from there for





adoption in subordinate units. In some instances these policies have not been tried and tested. As a result they may, at times, prove entirely unsuitable, or may even prove to be handicapping. Inasmuch as the policies that are in effect must receive careful consideration in the course of a thorough inspection the suitability of such policies is readily determinable during that process. The need for modification is brought to light. The conditions in support of needed changes are thoroughly analyzed right at the point of application, suggested beneficial revisions are developed and the full story is incorporated in the inspection report for the consideration of those officials in higher administrative levels who are authorized to initiate or to take whatever action is determined to be appropriate.

11. Is an effective means of utilizing the subordinate staff. Representatives of the unit under inspection are given full opportunity to express themselves freely, to sound off, to get things "off their chests". They are given the chance to present their individual suggestions which they consider to be of value to the organization. Inspections are scheduled so as to provide ample time to explore, to "talk out," the thoughts and ideas of members of the local unit. As the inspectors are responsible for gathering and reporting facts, their reports serve as an effective means of getting the views and ideas from the lower administrative levels up toward the top. Efficient inspections provide one of the very best means of internal communication.

12. Evaluates the efficiency of the management force. Inspections bring to light the true conditions with respect to the strengths and the weaknesses of administrative and supervisory officials at the level of







the inspection as well as at several of the superior levels. The degree of adherence to sound management principles becomes very evident during the course of observance of unit operations. As examples, it is readily possible to determine if there is appropriate respect for the prescribed chain of command and to learn if the line-staff relationship is understood and respected. Smoothness in unit operations will usually indicate a reasonable degree of adherence to principle and policy on the part of managers at the level of inspection and above. Violations of sound principle and prescribed policy will be reflected in operating deficiencies and in the quality of results produced.

13. Provides for the identification and expanded utilization of the best practices. It is obvious, of course, that certain phases of the work that is common to several operating units will be carried on more efficiently in some than in others. Inspections bring out the practices which have proved to be most effective, and which may be desirably adopted for broader application. As a result, the full utilization of inspection findings will insure the effective exchange of valuable improvements which might otherwise go unnoticed.

In the preceding we have not attempted to cover all of the benefits that are inherent in the inspection phase of the control function. There are numerous other advantages, such as in the area of coordination and in the creation of the proper official relationships, particularly with respect to each boss and the people he directs. And in the line-staff area which requires virtually continuous attention in order to prevent and to correct the deterring influences which constantly threaten. All in all, the values emanating from an efficiently administered inspection





system are so real, and so vitally necessary, that the perfunctory execution of this function represents a condition which no management can long afford to tolerate.

### CHARACTERISTICS OF A GOOD INSPECTION SYSTEM

Why a system, why does the inspection program or activity need to be systematized? The answer, of course, is that the need exists for the same reasons why it is necessary to carry on any other phase of administration in an orderly way. In this respect the inspection process is basically the same as the other administrative elements we have been discussing. The values to be derived will depend largely upon the efficiency with which the operation is conducted and the extent of utilization of the results of the operation. There are some very definite requirements which are essential, there are some practices which must be followed and there are some which must be avoided. The following are typical of the conditions to which we refer:

1. All who are involved must be entirely familiar with the inspection system that is in effect in the particular organization. All who are involved includes all who have any responsibility for any of the work that is being done. They must know and understand what the purpose is, how the inspection operation will be carried out, how the accumulated data will be used, and how they as individual employees fit into the picture. They must be informed about it in the same way and just as completely as they are informed about any other policy or procedure.

The inspection system must be covered by policy and procedure, just like any other operation, for that is exactly what it is, policy and procedure. The policy and the procedural instructions relating to it





should state the objectives, the methods to be followed, the results that are expected, and should clearly assign the responsibility and authority needed to carry out the provisions of the policy. That is, the same basic principles and practices that are applicable in connection with any other administrative activity have equal application with relation to the control function.

2. The inspection activity should be well organized. All inspections should be well planned and definitely scheduled. And all the people who are involved should be made thoroughly acquainted with these plans and schedules sufficiently in advance to fit this activity into their operations in the same way as they would any other official activity. Preferably, all concerned should take an active part in the development of inspection plans and schedules. Certainly, there is no practice more disconcerting, more disrupting, or more inconsiderate than that of allowing a group of inspectors to descend upon an operation with little or no advance notice.

A definite period of time should be allotted for each inspection. The time should be ample to permit sufficiently thorough treatment. Not only adequate from the standpoint of the inspector but from the standpoint of the people in charge of the operations being inspected as well. All parties to the operation will derive substantially less benefit if the inspection is so hurried that there is time only for the inspector to ask brief questions, get incomplete answers, and be on his way before there is a chance to carefully review the findings, the conclusions, and the recommendations. It is well not to lose sight of the fact that "quickie" inspections may do more harm than good.





3. Inspectors need to be fully competent. The inspector should understand clearly what he is supposed to do and how he is supposed to do it, should be reasonably familiar with the operations he inspects, should entertain no question as to his official relationship to all with whom he will come in contact, and should be of proven dependability and integrity.

It is of particular importance that the inspector thoroughly understand the standards against which he will compare the actual conditions he will observe. He must recognize that it is his function to determine and to record the actual conditions, the good, the mediocre, and the bad. He should further understand that he is to discuss each situation with the responsible officer, to mutually consider accomplishment and practice from the standpoint of acceptability as each one sees it, and to record the pertinent observations of the responsible officer.

The inspector must avoid obnoxious expediting and fault finding. He is expected to view all situations objectively and to express himself frankly and forthrightly. As one of the important contributions that the inspector makes is the training of the members of the work unit he should, by his actions, exemplify the manner in which they should operate.

The instructions to the inspector should provide for him to review thoroughly his findings with the unit head and such others as he may designate, before leaving the unit covered by the inspection. During the course of this review, all controversial points should be resolved if possible, and those that cannot should be positively identified in the inspector's report so that these items may receive appropriate consideration by competent higher authority.

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The fourteenth part is devoted to a description of the work done during the

past year, and is divided into two main parts.



4. Good reporting is essential. In order that all may derive the maximum possible benefit inspection reports need to be complete, factual, and accurate documentations. An inspection report that is not documented is often of little value and it may, on occasion, prove very detrimental. Every statement describing an extreme condition, either good or bad, should be fully supported. Any statements which are especially commendatory, or are particularly derogatory, but are unsupported or are based on limited data or perfunctory observation only, should not be included in the report. There will be the inclination, of course, to include this sort of material and if it should appear in the original draft of the report it should be permitted to remain in the final draft only when such material has been adequately substantiated.

Basically, the report should include the inspector's findings, his conclusions, his recommendations, and the pertinent observations of those responsible for the work operations. The report should be reviewed by the appropriate line officer and such others as he decides upon. It should then be transmitted by the proper administrative official, together with his observations, through the proper line channels, to the head of the unit covered by the report. That officer should be requested by his boss to review the contents of the report, together with the observations of his superior. The unit head should also be requested to furnish to his superior, in writing, his comments concerning the findings, the conclusions, and the recommendations which are reflected in the report.

The entire case should be brought to a logical conclusion as expeditiously as is feasible. The case may be considered closed only





after positive action has been taken, by the appropriate line official, with respect to each item of concern. Under no circumstances should any item in the inspection report be left hanging fire for any unjustified period of time. Undue delay or the absence of positive decision or action will detract, in no small measure, from any of the other benefits that are derived from the inspection.

This matter of bringing to a logical conclusion, within a reasonable period of time, represents a danger area that is ever present. It is a feature about which the responsible people need to be vitally concerned. To permit unjustifiable delay or to tolerate vacillating tactics, particularly to the extent of allowing items of concern to remain in an unsettled state, is a practice which raises serious doubt as to the qualifications of the managers who are responsible for it. This is one of the surest ways to create a general state of inefficiency which will be reflected in a great many ways, including the level of efficiency of every individual employee whose activities are subject to this type of influence.

5. Continuity of the inspection program. Before starting the thorough inspection of any work unit or of any major operation it is always advisable to review carefully the complete file of the last preceding inspection. By doing this, special attention can be directed toward those items which previously caused the greatest concern. Also, the normal "pattern" of the unit operations can be determined and any radical departure from that pattern, in either direction, will be more readily recognized during the course of the pending inspection. This practice offers another distinct advantage to the inspector. He will

1. The first step is to identify the problem or question that needs to be answered. This involves understanding the context and the specific requirements of the task.



thereby acquire some degree of familiarity with the form of organization and with the people with whom he will be dealing. Because he does possess such knowledge the reception he receives, at least at the very beginning, will be much more favorable than if he goes on to the job "cold," thus making it very obvious that he spent little if any time on advance preparation.

### FREQUENCY OF INSPECTION

Obviously, a great deal of control influence is present in connection with the carrying out of routine day to day affairs. However, the complete control job can seldom be accomplished in this manner. When the operations are comparatively complex, quite extensive and particularly when there is substantial geographical dispersion, it is necessary to augment these casual control methods with specific inspection activities designed to insure the accomplishment of the total control job. It is this type of inspection activity with which we are concerned.

The frequency of such intensive and thorough inspections will, of course, depend upon a number of factors. The level of the operations in question, the closeness of day to day association between the subordinate and his superior, and the spread between the level of the operations inspected and the administrative level doing the inspecting are some of the items to be taken into consideration. Certainly, such formal inspections should not be conducted with such frequency that they lose their significance or interfere with the carrying out of assigned functions. Quite naturally, inspections by the immediately superior administrative level should occur with greater frequency than those originating in the higher administrative levels, those which are





farther removed from the scene of operations.

The determination of frequency will depend upon the individual circumstances. As a very general guide, the number of inspections that are made and the intervals between them will depend upon what is necessary, in the judgment of competent management, to maintain adequate control. For some types of operations possibly two or three thorough inspections annually by the next higher administrative level might prove to be adequate but not excessive. While in other operations one such inspection each year might prove to be sufficient.

In any event, in organizations of any appreciable size it is seldom, if ever, that day to day direction is an acceptable substitute for periodic inspections which touch upon all aspects of the work.

#### PLANNING THE INSPECTION PROGRAM

As we mentioned earlier, it is as important to enumerate the control policy of the organization as it is to prescribe policy for any other phase of management. And, for apparent reasons, the stated policy needs to be augmented with whatever detailed instructions are necessary to insure the carrying out of the policy provisions.

After this first basic step has been accomplished the inspection function is treated in essentially the same way as all other administrative activities. Inspection schedules should be included in unit work plans. The schedules should be appropriately complete and precise, yet sufficiently flexible to permit desirable modification.

All employees concerned, those who will do the inspecting and those in charge of the operations to be inspected, should participate in the development of the inspection portion of the plan of work. And



Further removed from the regular inspection.

The inspection of the quality of the work is not done at the

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are made and the intervals between them will depend upon what is nec-

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inspection and the more frequent the inspection, the more frequent the

to be adequate but not excessive. While in some operations the

inspection each year might prove to be sufficient.

In any event, in organizations of any appreciable size it is seldom,

if ever, that day to day direction is an acceptable substitute for periodic

inspection which must be made at the shop.

### 1.2. THE INSPECTION DEPARTMENT

As we mentioned earlier, it is as important to ensure that the

quality of the work is maintained as it is to ensure that the

quality of the work is maintained. And, for this purpose, the

quality of the work is maintained. And, for this purpose, the

necessary to insure the quality of the work.

After this has been done, the inspection department should

function in essentially the same way as all other departments.

It is essential that the inspection department should be

plane. The schedules should be appropriately complete and precise.

yet sufficiently flexible to permit desirable modification.

All employees concerned with the inspection of the

those in charge of the operations to be inspected, should participate

in the development of the inspection portion of the plan of work. And

these same people should be fully informed of the finally approved determinations. And everyone allowed ample time to prepare adequately for the inspections that are scheduled. It is just as important to do a good job of inspecting as it is to carry on the work operations in the first place. As inspection is an integral part of the routine operations of the unit, it is imperative that a definite and sufficient period of time be provided for, be set up, to permit the doing of a good job. Substandard inspection represents a deficiency as real as does the faulty execution of any other phase of the total operation.

It was mentioned earlier that the inspection process consists of the comparison of the actual condition with conditions as they should be to be classed as acceptable. Obviously, this is possible only when those doing the inspecting job understand how things are supposed to be done, understand the applicable standards. Necessary standards, sufficiently uniform, in one form or another, must be provided and all who need to be must be familiar with them.

It may be of some help to review, in a rather concise manner, the highlights of the several steps involved, beginning with preliminary preparation and ending with utilization of the results.

#### Preparing for the Inspection

Adequate preparation by the inspector is most essential. The following list represents a few of the things that the inspector needs to take care of before getting started on the actual job of inspection.

1. He should become familiar with the form of organization and the functions of the unit.

2. He needs to obtain some knowledge about the unit staff. Such as, the names of those in the more responsible positions, how long

These various things would be fully discussed in the monthly reports of the Board of Directors. The Board of Directors would be fully informed of the results of the various things which would be done in the various departments of the company. The Board of Directors would be fully informed of the results of the various things which would be done in the various departments of the company. The Board of Directors would be fully informed of the results of the various things which would be done in the various departments of the company.

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they have been in their respective assignments, a little about their individual qualifications, and similar information.

3. Review previous inspection files, the reports and the follow-up action, paying particular attention to those items of unusual character. Exceptionally high quality performance, major problem situations, questionable practices, and the like.

4. Notify the unit head of the general plans for the inspection. Inform him of the things he should do before the inspection gets started. The assembly of certain records, the compilation of needed data and other like material the development of which should not be delayed until after the start of the inspection period.

5. Confer with other interested line and staff officers to obtain helpful information. And to determine the areas of major concern and interest to them which they desire the inspector to give attention to.

6. Prepare a plan of action, a working guide, which will be used during the course of the inspection. Thereby, reasonable orderliness will be assured and maximum benefit will result from the effort expended. The plan of action should be recorded for it is seldom that relying upon memory proves satisfactory.

#### Conducting the Inspection:

1. At the very outset make certain that all concerned, the unit head, and all other participants in the undertaking, understand fully the objectives of the inspection and the methods that will be followed. And it is of extreme importance to make certain, right at the start, that there exists no question with respect to the responsibility and the authority of each one taking part.

they have been in their respective assignments, a little about them

from official publications, and some information.

5. In the preliminary section fill in the reports and the following

action, paying particular attention to those items of unusual character.

Exceptionally high quality performance, major problem situations,

unusual practices, and the like.

4. Notify the unit head of the general plans for the inspection.

11. List of the items to be inspected in the inspection and the

The majority of items to be inspected; the compilation of a list of items

other like material, the development of which should not be delayed

until after the inspection is completed.

3. Confer with the interested line and staff officers to obtain

helpful suggestions, and to determine the items to be inspected and

interest in them when they desire to give attention to

6. Prepare a plan of action, a working guide, which will be used

during the inspection. The plan should be written in a concise and

will be a working guide, and should be written in a concise and

ded. The plan of action should be recorded for it is seldom that rely-

ing upon memory proves satisfactory.

Organization of the inspection

1. At the very beginning of the inspection, the unit

head and the staff officers should be present to discuss the

the objectives of the inspection and the methods that will be followed.

And it is of extreme importance to make certain, right at the start,

that there exists no question with respect to the responsibility and the

authority of each one taking part.



2. Working with members of the unit, decide upon a plan for the inspection operation, basing these determinations on the things to be accomplished, relative importance of work activities, logical sequence of work phases, and the time available for doing the job.

3. While maintaining reasonable adherence to the plan agreed upon, look into unit operations to a sufficient extent to get a clear picture of conditions. The required information can seldom be obtained by relying solely upon the interrogation of members of the unit. The inspector should "go see for himself."

4. Obtain the complete views of those who are responsible for the operations. They will be able to make substantial contributions by reason of their familiarity with the work and their deep interest in it.

5. Arrive at a decision as to the relative acceptability of the condition under consideration, basing such decision upon what is seen and what is heard.

6. Record the true condition as the inspector sees it. Record also the pertinent expressions of unit members. If the situation represents a problem to them, offer helpful suggestions. Or issue instructions, if desirable, making certain that any instructions remain within the limits of the inspector's authority.

7. Recognize and record the level of acceptability, in the judgment of the inspector, of all major phases of the operation. If conditions are considered to be outstanding or to be unacceptable, indicate the degree in each instance. Inspection results are of little value unless they reflect the true character of conditions, fully and completely. Normally, in the majority of cases the unacceptable conditions





that are discovered will be excused, often to a substantial extent, by those which are acceptable and above.

8. The inspector should always keep in mind that an unacceptable condition may exist for two reasons, because of failure to reach the prescribed standard or because the quality level achieved is higher than is justified, as determined by consideration of the applicable standard.

9. Attempt to determine, and record, the causes of the achievements which are especially commendable and of those which are less than satisfactory.

10. As soon as the inspection is concluded the inspector's findings, conclusions, and tentative recommendations should be reviewed with the unit head and with such others as he may designate. This is a very important feature of the inspection process. For by doing this the unit head will then be made entirely familiar with the content of the inspector's report, at that stage, and any inaccuracies may be corrected and misunderstandings resolved before the report is compiled in final record form. Of course, it is not unusual for the views of the inspector and those of unit members to be somewhat in disagreement. Whenever that is the case that fact should be clearly stated in the report.

11. Throughout the inspection, the inspector has the very real responsibility of conducting himself in such a way as to set the proper example. It seems unnecessary to say that he should, under no circumstances, betray a confidence. The inspector who is not respected or who creates resentment or suspicion has virtually failed and the results of his efforts may be of little value. It is well within the realm of possibility for the results, under such a condition, to be more detrimental than beneficial.





### Reporting Inspection Results

The value of the inspection report is determined primarily by its currency, its completeness, and its accuracy and when it is designed with the primary objective of providing the maximum ultimate benefit to the people responsible for the operations in question. The chances of meeting this standard will be improved if the following requirements are met.

1. The report should be prepared as promptly as possible, before the inspector's notes get cold.

2. Whenever there is any uncertainty on the part of the inspector with respect to any condition involving unit operations, this fact should be clearly stated in the report.

3. Make certain to include the expressed plans of unit officers to effect improvements which the inspection has revealed as being necessary.

4. Make certain to include every condition of sufficient importance to justify commendatory recognition. Identify the person or persons primarily responsible and include recommendations as to the form this recognition should take.

5. Particularly sensitive or highly personal matters of sufficient importance to justify being reported, should be dealt with in separate memoranda directed to the appropriate administrative officer. Such materials should not, under any circumstances, be included in the general report.

### Utilizing the Results:

Just like other similar data, inspection results are of value only to the extent that they are utilized. Utilization should, of course, be

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PHYSICS DEPARTMENT

REPORT OF THE PHYSICS DEPARTMENT FOR THE YEAR 1954

CHICAGO, ILLINOIS

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complete. If the information acquired is put to no good use the only benefits derived are those which accrued during the course of the inspection itself. It is doubtful, however, if the sum of those benefits is equal to the detrimental effects caused by lack of use or by the obviously perfunctory treatment of the inspection material. Unless this phase of the control process is handled in a business-like manner it is not difficult to visualize the reactions, the justified reactions, of those whose operations were subjected to inspection.

Here are some of the things that need to be done in order that the organization may derive the maximum benefit.

1. After prompt preparation of the report it should be furnished, without delay, to the appropriate administrative official. Of course, the inspector and "the appropriate officer" will, at times, be one and the same.

2. The contents of the report should be accorded thorough consideration by those officials having sufficient official interest and responsibility. It is usually desirable and sometimes necessary for those officers to confer with the inspector in order to try to eliminate entirely the possibility of any misinterpretation. It may be desirable and necessary to modify the report to some extent when it is determined, by those authorized to make such a determination, that such action will best serve organizational interests.

3. Copies of the report, in its final form, should be furnished, within reasonable time limits, to all possessing sufficient official interest and responsibility.

4. And, without delay, a copy of the report should be transmitted to the head of the respective unit. Transmittal should be by the line





officer who serves as the immediate superior of the unit head, or by a line officer higher in the chain of command through the immediate superior. The report should be accompanied by a statement from the transmitting officer. That statement should comment upon the important aspects of the report including appropriate expressions of commendation and suggestions and instructions concerning the areas in need of attention. It is important that the unit head be instructed to submit his views to his superior concerning each major item. It is often desirable to assign reasonable deadlines for receipt of such responses in which the unit head outlines the action he has taken or plans to take in connection with each item requiring his attention.

5. All "unfinished business" should be kept alive until properly disposed of. This may necessitate several exchanges of information between the unit head and his boss and may involve personal contact as well as correspondence. Within a reasonable period of time every item of concern should be disposed of completely. It is then and only then that the case may be considered closed. The official records of the inspected unit and of the responsible superior offices should clearly reflect the current status of the case at any one time, including final disposition when that time arrives. No phase should be left "hanging fire" indefinitely.

6. Any documentations reflecting damaging allegations which have not been definitely proved or definitely disproved should be properly disposed of. It is not unusual for destruction to represent the best form of treatment.





EFFICIENT MANAGEMENT IS NOT POSSIBLE WITHOUT  
EFFECTIVE CONTROLS

Every manager should recognize that effective control is an essential component of efficient administration. He should recognize, too, that when this phase of the management function is carried out inefficiently the overall results, under such circumstances, may be more detrimental than beneficial.

Systematic inspection represents about the only means of determining, with appropriate accuracy and completeness, if assigned functions are being conducted in a manner that is acceptable to management. If all who are responsible for certain phases of the total operation are fully familiar with the nature and extent of their responsibility, and their authority, they will more efficiently meet those responsibilities under a system which provides for periodic inspection as a routine and standard procedure.

INSPECTIONS MAY REVEAL PERSONNEL PROBLEMS  
REQUIRING ATTENTION

Inspections are conducted for the purpose of obtaining information, arriving at conclusions based on such information and the taking of the action that is determined to be appropriate. When reasonable standards of performance exist the degree of acceptability of results is determined by the effectiveness with which the individual employee carries out his assigned duties.

While it is true that inspections will usually reveal the presence of more instances of performance that are acceptable or above standard than those falling below, it is nevertheless true that the latter

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While it is true that inspections will usually reveal the ...  
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condition will, at times, make its appearance. In some of these instances it will be determined that the basic cause of the deficiency is neglect of duty, or violation of policy, or lack of interest, or just plain inability. Whenever these or other circumstances like them are discovered it is necessary for management to take positive action. It may be necessary for the manager to conduct a thorough investigation in order to obtain all of the information needed to insure the proper handling of the case. But in any event some action that is positive in character is called for if the manager operates efficiently.

This important area, the one involving the handling of personnel problems, will be considered in the section which follows.



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AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 14

INSPECTION IS ESSENTIAL TO SOUND MANAGEMENT

WORK ASSIGNMENT

1. Explain why it is essential that the management policies of any enterprise make definite provision for systematic inspection.
2. Describe the basic feature of the inspection process by means of which the acceptability of existing conditions is determined.
3. In their order of importance, list at least five benefits to be derived from an efficient inspection system.
4. List several important characteristics of the competent inspector.
5. Briefly describe one inspection system with which you are familiar and identify those characteristics which you consider to be outstanding virtues or deficiencies.
6. When a substantial number of employees in an organization were asked to give their opinions as to the purpose of that organization's inspection system, the great majority replied, "to find out what is wrong." If you were assigned to the highest level administrative position in that organization what steps would you take to correct the situation that so obviously exists?

2. APPOINTMENT







*Resume*  
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IN

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SECTION 15 - PART I  
HANDLING PEOPLE PROBLEMS

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WASHINGTON, D. C.  
1957





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IN

MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 15 - PART I  
HANDLING PEOPLE PROBLEMS

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WASHINGTON, D. C.  
1957

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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 15 - HANDLING PEOPLE PROBLEMS (PART I)

Sooner or later, every person who is responsible for directing the efforts of other people will be confronted with problems, with problems which are, or appear to be, caused by the actions of those people. Of course, the manager who does an outstanding job of managing will have fewer such problems. But problem situations will occur to some extent regardless of how competent the manager may be. Naturally, the superior officer who complains the most about his people causing him a great deal of difficulty is usually the one who is least qualified to handle such situations properly. On the other hand, the more competent administrator operates in such a way that the number of problem situations developing in his outfit are fewer and those that do occur are dealt with more promptly and effectively. It is evident then, that while all those with supervisory responsibilities will be interested in the material that follows, those who are frequently confronted with "personnel cases" are the ones who should find it to be particularly pertinent.

The manager's first responsibility with respect to problem situations involving one or more of his subordinate staff is identical to his responsibility in all other phases of his managerial function. That is, he must face the issue promptly, deal with it forthrightly, arrive at a logical decision, and take the action he considers to be most appropriate. The principals involved are human beings, each with a great deal at



stake. For this reason, the importance of adhering to the pattern we have just outlined is much greater in these instances than it is when the manager is dealing with the other routine operating affairs in which the human element is present to a much lesser degree.

There are a number of fundamental viewpoints, relating directly to the members of the subordinate staff, which must be fully accepted by every administrative official in order for him to be fully competent in his job. He needs to understand, and accept the fact, that virtually every so-called personnel case that is properly handled results in benefit to all those people who may be involved. The manager should approach every employee problem with that conviction foremost in his mind.

#### WHY PEOPLE PROBLEMS BECOME SERIOUS

The great majority of individual employee problems which cause the superior official considerable concern, and are of real concern to the subordinate principal as well, seldom appear to be of major proportions at the very beginning. Very often, they are the outgrowth of incidents and circumstances initially of rather trivial consequence. For that reason complete correction is, more often than not, a rather simple process when the condition is dealt with in the early stages. At that time, it is normally possible to bring about correction that is acceptable to all, with a minimum of time and effort.

But the small problems which are disregarded, or are dealt with in a perfunctory manner, frequently develop into big problems which are much more difficult to handle, are much more costly to handle, and often prove to be much more devastating from the standpoints of all concerned. It is in the distinct interest of the superior officer and of





each subordinate directly involved, to deal with individual deficiencies early, the earlier the better, when they are small, when they first make their appearance. Failure to act at that time is seldom justified. But there is, to some degree, a tendency to delay, to procrastinate. The reasons for such failures to act are attributable to certain very definite managerial delinquencies which every administrative official needs to recognize fully.

#### Refusal to Recognize the True Situation

The management officer who refuses to admit, even to himself, the presence of a less than acceptable condition in his unit is practicing the art of unjustified rationalization. He may do most anything, and sometimes does, to convince himself that there is no condition existing about which he needs to be particularly concerned. If he is successful in such efforts, and he often is because he has only himself to convince, he is then able to arrive at the further decision that there is nothing demanding his attention. At times, in a continuing effort to justify this decision and to avoid taking unnecessary chances of having to admit that a wrong decision was made, the manager may resort to some rather extreme practices.

He may deliberately avoid the offending subordinate and his operations. The responsible superior may consider it desirable to attempt to divert elsewhere the attention of his boss for it is always possible that he would not lend his cooperation in the exercise of these evasive tactics. It may be necessary to spend considerable time and effort to keep the true situation under cover. Actually, the time and effort that are sometimes devoted to this sort of thing are not infrequently considerably in excess of that which would be necessary to deal with the

AMERICAN UNIVERSITY, WASHINGTON, D.C.

THE UNIVERSITY OF CHICAGO, CHICAGO, ILL.

DEAR MR. [Name]

I have just received your letter of the 14th.

I am sorry to hear that you are not well.

I hope you will soon be able to return to work.

Very truly yours,

[Signature]

Enclosed for you are the books which you ordered.

I am sure you will find them of interest.

I have also enclosed a copy of the report.

I am sure you will find it of interest.

I am sure you will find it of interest.

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situation in a constructive way.

### Reluctance to Face the Issue

On the other hand, the responsible official may clearly recognize the true situation. But, for a variety of reasons, he may take every positive action in an effort to avoid taking the right kind of action. He may spend considerable time thinking about the problem, worrying about it, and possibly discussing it with the wrong people. But he may carefully avoid bringing it to the attention of his boss. And he never seems to get around to doing that which he and others know that he should do. It may appear that he is always just about ready to do something about it. But, strangely enough, there seems always to be something else developing that results in still further delay. Of course, it may be necessary to manufacture things of greater importance to give his attention to, but with a little practice he may become quite adept at doing just that. Often the primary objectives seems to be that of finding ways to justify, at least to himself, <sup>the</sup> putting off of doing what many of his people recognize should be done.

### Delaying Until Action Can No Longer Be Avoided

Strangely enough, there seems to be the not uncommon belief that an offense is to be overlooked so long as the act was successful, so long as the offender got away with it without causing trouble. When such an attitude prevails action is taken only when the culprit was unsuccessful, only when the infraction resulted in consequences which are tangible, are readily discernible.

This attitude is basically similar to that reflected by some municipal officials with respect with the enforcement or lack of enforcement, of traffic regulations. The violation of most any traffic law is



disregarded, or but a minor penalty is imposed, when the violation does not result in an accident. When the violator is able to "get away with it" the unauthorized practice is virtually condoned. But if the same violation results in an accident of any consequence the violator is then apprehended and subjected to a penalty. And, not infrequently, a direct relationship will exist between the seriousness of the accident and the seriousness of the penalty that is imposed. As a consequence, the "successful" violator is inclined to repeat, to try it again, for he has a sound basis for believing that nothing detrimental will happen to him so long as he is able to commit the violation without getting into trouble.

The same basic principle applies in the treatment of delinquencies on the part of the subordinate employee. When the employee violates a rule, or fails to conform to a prescribed policy or practice, but is able to do so with no apparent ill effects, it is reasonable to expect that he will repeat the performance. Only the next time the degree of departure may be somewhat greater than it was in the first instance. It would seem to be rather difficult to understand how any superior officer would be capable of entertaining the view that failure to act positively in relation to unsatisfactory performance will do other than serve to perpetuate the improper practice.

### Too Busy

This attitude is not a particularly unusual one. It seems always to be possible for some managers to be able to have so many other things to do that they just do not have the time to get around to giving their attention to their real problems. This claim of too many other



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things to do is frequently nothing more than an escape mechanism. One that may appear to be used with considerable success, but, as a matter of fact, the practice usually results in a considerable lack of success. For the other things which they claim need doing first are often of less importance than the difficulties to which they should give their first attention.

When an administrator presents the claim that he is too busy to look into his personnel problems he is doing nothing more than contending that he is too busy to do the job for which he is being paid. For then he is setting his own priorities and doing a poor job of it. The jobs he prefers to spend his time on, the ones which cause him to be too busy, in all probability are operations which should be performed by members of his staff, operations which should be delegated. Or, possibly they have been delegated and the one who delegated them has not respected his own delegations. About the only conclusion we can arrive at is that the individual who tries to operate in this way does not understand what his job is. Or, if he does understand it, it seems clear that he is either unable or unwilling to carry out the responsibilities inherent in his job.

#### Inability To Determine The Proper Course Of Action

At times, a problem situation will be recognized by the responsible administrative officer and he will believe that he is dealing with it in a forthright manner. But he may be uncertain as to just what he should do. Or, if he is told what he should do he may not know how to go about doing the job in the proper way. Possibly some will not recognize how incapable they are of handling the situation properly and will proceed in a manner that is almost certain to produce results that are in some respects the opposite of those desired.





Some may be inclined to work around the edges, never coming face-to-face with the real issue, with the result that their actions may make the situation become worse rather than better. It is not so very unusual for some individuals to blunder along in this way, refusing to request the assistance they so badly need. By the time the boss learns about the case and is able to furnish help, the situation has often progressed to the point of no-return, to such a state that there is no longer the opportunity to resolve the case properly. The damage has already been done. And all because the individual responsible was not fully able to perform the duties of his assignment.

Under such circumstances as these, the outcome of the individual case is often quite unfortunate. But of still greater concern is the all too common practice of going no further, of failing to correct the basic cause. To allow operations to continue on just as before, with no effort made to prevent similar or more serious recurrences by taking positive action in an attempt to make certain that the principals in the case, and the others subjected to similar hazards, will react properly when similar sets of circumstances develop in the future.

#### Transfer The Problem To Someone Else

Of course, the real cause for this type of maneuver is refusal to face up to the issue and to do something about it. But, in this instance, the tactics are even worse for the course of action that is taken causes others to become involved. Others who are usually unsuspecting and otherwise innocent parties to an atrocious malpractice.

In this instance, the responsible superior has only one objective, that of getting rid of the problem. He may not be particularly concerned about how he accomplishes this, so long as he is successful in passing





the problem along to someone else. The extremes that are resorted to are many and each one is about as unsavory as the others.

However, in all such cases there exists one common characteristic. All of the true facts are seldom revealed. Not only that, but the information that is furnished prospective purchasers, with respect to the problem employee, may be so grossly distorted as to be in direct conflict with the actual state of affairs. At times, the cited attributes of the principal will conform, to a surprising extent, to the needs of the unsuspecting buyer. And not with sufficient infrequency the effort to unload will be accompanied by a promotion recommendation. The sole objective seems to be that of passing the lemon on to someone else, even if it is necessary for the principal to be "kicked upstairs" in order to get the job done.

Needless to say, there are few other managerial atrocities capable of competing successfully with this one. The practice takes on not one but several particularly unfortunate aspects. The several organizational units that are involved, as well as quite a few of the people in those units suffer rather severe consequences. Of course, as is so often the case, the principal suffers the greatest loss.

It becomes immediately obvious that the consequences of such a practice are likely to be cumulative. The recipient of the unwanted employee soon learns that he was taken in, and if he possesses some of the same weaknesses as those who sold him the bill of goods, he will be inclined to perpetuate the chain reaction by resorting to similar tactics. Certainly, any individual employee is undeserving of this sort of nefarious treatment. No competent management will condone such activity. For no management can afford to permit it.



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### LACK OF ACTION RESULTS IN LOSS TO MANY

Considering this most important area in the scope of the responsibility of every administrative official, there are certain basic considerations which may not be overlooked. The manager owes it to the organization, to each one of his subordinates, and to himself to operate at all times in a forthright and honest manner. To operate in any other manner is to incur ill-feeling and suspicion; both of which are certain to lower the efficiency of each of the individuals who may be involved.

#### The Principal Loses

It is clearly unfair to the problem employee for his boss to fail to act on the problem or to permit an unacceptable situation to develop beyond its early stages without according it proper attention. Such failure to act on the part of the superior, is unfair to the principal for a number of reasons. If the situation is not brought to his attention he may be entirely unaware of its existence. If he is permitted to get away with something once, he may quite naturally presume that his action is condoned by those in authority. He may well believe that the same thing is worth trying again. The chances are that he will.

Not infrequently, the second violation, and succeeding ones, will be more serious than the first. The situation will normally become increasingly worse. It is seldom that it will improve, all by itself, as time goes on. Obviously, any administrative practice which permits the individual employee to get in deeper and deeper in the wrong direction, is decidedly not in his best interests.

#### The Supervisor Loses, Too

For management to permit such a condition to continue is decidedly unfair to the manager, the individual, who is the primary delinquent.

NOTED ( / Hrs. ) REVERSE



The existing condition will become known to his other subordinates. They will tend to lose respect for the boss. They may develop the opinion that the supervisor condones the situation that exists. They may be inclined to change their mode of operation in order that they, too, may conform to the activities of the non-conformist. So long as the responsible supervisor fails to act he is failing to redeem his official responsibilities.

There is probably no supervisory deficiency more serious than that of failure to act when action is called for. When the individual attempts to justify his actions, or rather his lack of action, by rationalizing, he is spending time and effort which are unproductive and which encroach upon his other normal responsibilities. In addition, the standing of the individual in his relation to his official superior is adversely influenced. So long as a situation of this character is present there may be reluctance, and justifiably so, to advance the individual to more responsible assignments.

Naturally, the organization suffers a real loss. The principal in the case is not able to function with maximum efficiency. The influence on adjacent units of the organization and upon the individual's working associates are of deterrent character. There is a general lowering of efficiency within the entire zone of influence.

#### AN ORDERLY METHOD FOR DEALING WITH PEOPLE PROBLEMS

It might appear, on the surface, that there are a number of methods that may be followed in the effective handling of personnel problems. It is probable that a great variety of approaches have been tried at one time or another. And it is equally probable that any method that has proved effective conforms to a rather uniform pattern.



Regardless of the specific pattern that is followed the basic characteristics that are present will be subject to but negligible variation. In the interest of effectiveness it is our belief that it is well to divide the operation into five definite steps. The proper application of each of these five steps not only insures some degree of uniformity but, when the total operation is carried out efficiently, the results thereby produced should be wholly acceptable to all concerned.

The responsible administrative officer is, of course, concerned with the correction of the immediate problem. But his concern must not stop there. For, the manager may be considered as fully competent only when he does a good job of anticipating possible or probable developments and takes positive action that is designed to insure in the future the development of that which is desirable and the avoidance of that which is not. In anticipating what may happen and in deciding upon the most desirable advance action, the individual manager's personal experience, and the available experiences of others which should be utilized to the maximum extent. Accordingly, the competent manager never loses sight of the fact that every problem situation offers the opportunity to acquire valuable knowledge and, while the resolving of the immediate situation may represent the initial objective, the manager has not performed his function adequately until he has made full use of the knowledge acquired in the handling of each individual case; until he has done everything that is feasible in order to prevent a recurrence of the problem and to avoid a similar occurrence in those other operational areas having inherent hazards which are identical or similar. It is for that reason that special emphasis is directed toward the fifth and final step of the problem solving method which is explained in the following.





1. Obtain enough of the important facts. Obtaining all of the pertinent facts in the case is your first job, and an important one. For reasons that are quite obvious the investigation should be started promptly, should be conducted on a virtually continuous basis, and should be brought to a conclusion when the expenditure of further effort is not warranted. Investigate the case yourself, or when necessary, assign phases of the investigation to individuals, preferably members of your immediate staff, who are thoroughly competent to do a good job. Be jealous of this prerogative with relation to the investigative function, and delegate it only when you are thoroughly convinced that such action is both appropriate and desirable.

In the accumulation of information relating to the case, run down all logical leads, accept the factual and disregard unsubstantiated hearsay and the irrelevant. Under certain circumstances it may be advisable for the principal to take an active part in the investigation. During the course of the investigation carefully assemble and effectively organize and record all of the important data.

Under no circumstances should confidences be betrayed. You should anticipate, of course, that the principal will attempt to refute certain or all of the evidence which is, from his standpoint, of incriminating character. Accordingly, you will want to arrange, to the degree you consider to be desirable, to obtain signed statements from those who are able to provide evidence of substantial significance.

Always, make certain that the primary principal is given full opportunity to present his side of the case. Make certain that he has ample time to assemble and to present his views, as well as all of the additional evidence he feels should receive consideration. Naturally, if the





case is of sufficient seriousness the evidence presented by the principal should be documented. Make certain that he understands you want only factual information about what did or did not happen, but, in addition, all the circumstances, including extenuations which led up and contributed to the conditions of concern.

When you are convinced that the evidence you possess is adequately complete and is accurate, you should then proceed to the next step in the process.

2. Properly consider all important evidence. All of the important evidence that has been collected, not just selected parts of it, should receive your careful consideration. Concern yourself not only with what happened but with why things happened as they did. Accord full and careful consideration to the statements and other evidence provided by the accused.

In your review of the accumulated information it will be helpful for you to attempt to discover the answers to these and other similar questions. Was the individual justified in what he did or did not do? Was there violation of law or regulation or both? Was the situation of concern caused by circumstances of unusual or exceptional character? Were there omissions or other evidences of negligence on the part of others that contributed to the cause and to the results? Was the infraction committed willfully? Had the offender been properly instructed and otherwise efficiently supervised? Is this the first infraction or had others occurred previously? Of how long standing is the situation of concern? Did faulty organization contribute to the condition? If the principal is one of your immediate subordinates are you at fault,

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and if so how and in what degree? Did personal matters of concern to the principal contribute in some way?

You should, of course, convince yourself, all of the time, that your evaluation of the evidence and of the circumstances contributing to the problem has been thorough, unbiased, and appropriate in all other respects. As is true in every phase of supervision, your primary concern is the effect upon the employee, rather than the effect on the individual work operations which may be involved. You have the responsibility for assuring yourself that your consideration of the evidence will permit you to arrive at a decision which you consider to be just and proper; a decision that you will not hesitate to defend at any subsequent time. Of course, you will recognize that there is always the possibility that you will err in your judgment. You will recognize that this constitutes a human deficiency which should in no way serve as a deterrent in your treatment of the case. And you will recognize that should it later become evident that you did err, you then have the added responsibility of admitting that fact. We need always to keep in mind that the individual who attempts never to err always produces below full capacity.

3. Decide on the action you consider to be most appropriate.

As soon as you have determined that you have accorded full and appropriate consideration to the accumulated evidence, it is then your responsibility to decide on the action you consider appropriate under the circumstances that existed. In arriving at such a decision there is a logical pattern that you will follow.

It is seldom adequate to attempt initially to select a single course of action. It is always well tentatively to consider several possible solutions, from among which you may select the one which, in your



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opinion, will produce the best results. First, consider separately each one of these possible solutions. You are concerned, at this point, with the effect each possible course of action will produce. Evaluate each one separately and identify the desirable consequences, as well as the undesirable ones, inherent in each of these possible solutions.

Then, consider the logic of combining the most desirable features of all of the solutions you are considering. In this way, you may arrive at a solution that is still more appropriate than any of those you originally conceived.

In any event, it is your responsibility to arrive at a final decision as to the best course of action. Of course, your decision, of necessity must be in the form of a recommendation if you are not authorized to make effective the action you consider to be most appropriate. But, arrive at your decision as soon as you recognize the solution which will most nearly attain the objective. Then, of course, you proceed with appropriate dispatch, to convert your decision to action.

4. Take the action decided upon and check on its effectiveness.

As soon as you have decided upon the action to take, proceed with that action without unjustified delay. The timeliness of the action that is taken is, in some respects, almost as important as its character. The action should be positive and clear-cut so that the people involved may entertain no question as to what is intended and what is expected of them. They need to be told about all that is to take place. Less than that is inadequate, while a little more seldom does any harm.

The action may take anyone of several forms or it may consist of a combination of things. It might consist of a verbal or written reprimand or both. It might involve the removal of a privilege,

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the imposition of a suspension without pay, or be so drastic as to result in demotion or in separation. But in any event, it is imperative that the action, regardless of its character, be taken by the appropriate official. In this instance, as well as in all others, the chain of command must be fully respected.

It is entirely possible, of course, that the principal may be fully cleared in which case no penalty would be imposed. And it is always possible that the investigation might result in the determination that the appropriate action is commendation rather than condemnation. It is this latter possibility that is entirely too frequently overlooked. If the facts in the case prove that the principal acted as he did in the interest of the organization or that his action was justified by reason of the circumstances that existed it is, of course, imperative that these facts serve as the basis for the decision with respect to the course of action that is proper. It is not particularly unusual that consideration which is limited solely to the happening or to the results it produced will lead one to conclude that a serious infraction has been committed and that there is no alternative but to impose a severe penalty. But to limit consideration to the act itself and to its effects is decidedly improper. In most every such instance there are definite reasons for the individual acting as he did. And it is not uncommon to learn that there were present extenuations or exigencies which contributed to at least some degree.

It must be looked upon as quite unfortunate that more than a negligible number of managers appear to be of the opinion that there is no need for positive action when innocence is proved or when the disciplinary action that should be taken is favorable rather than adverse.

The following is a summary of the results of the study of the effect of the administration of the vaccine on the blood sugar of the patient.

The results of the study of the effect of the administration of the vaccine on the blood sugar of the patient are as follows:

1. The blood sugar of the patient was found to be normal before the administration of the vaccine.

2. The blood sugar of the patient was found to be normal after the administration of the vaccine.

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Certainly, there can be no valid argument in opposition to the view that the necessity for positive action is equally great when it is logically concluded that the principal in the case is entitled to some form of approbation. Whether the action that should be taken is in the form of a severe penalty or substantial commendation has no bearing upon the need for taking the action, the timing of it, or the general manner in which it is accomplished.

The important considerations are those which relate to appropriateness of the action, its clarity, and its timeliness and completeness. There should never remain, in the mind of the principal, the slightest doubt concerning the significance of the action that is taken as a consequence of his participation in the incident in question. It is substandard administration and down right unfair to the principal in the case to permit him to entertain any doubt concerning the effect of the incident upon his current and future status. To permit any uncertainty in this regard to exist represents a supervisory deficiency, one which seems to be entirely too prevalent. This represents an administrative responsibility of such importance that the able administrator will not tolerate perfunctory treatment.

The administering of reprimands may well justify special comment. To begin with, we need to recognize that any reprimand should serve to accomplish a specific beneficial result. Its purpose must be, without exception, to do good. In spite of that fact, it must be admitted that not infrequently reprimands produce results which are the reverse of those intended by the officials administering them. At times, the action does, in fact, resemble deliberate deterrent efforts rather than having as its basic purpose results that are opposite in character. Regardless





of the language, verbal or written, the reprimand often says, in substance, "what you did was a violation and if it happens again you may expect more serious consequences." Sometimes, the comment is just about that brief. At least in its connotation. It should be very evident that about the only thing this sort of action accomplishes is an imagined degree of protection for the responsible superior. The individual in need of assistance was not given the assistance he needed and deserved. He was merely told that he did something improper and he better not do it again. It seems rather unnecessary to point out that this way of doing things has no place in the operating practices of any organization.

The reprimand that is administered properly and is effective is the one which the recipient considers to be fair and just and beneficial. He wants to know what he did wrong why what he did was wrong and what he should have done under the prevailing circumstances. To be told these things is his right. And to see that he is given this information is the responsibility of the responsible administrative official. The reprimand that does not accomplish at least this much seldom serves any worthwhile purpose and may well produce adverse results.

Naturally, it is hoped that the action that is taken will produce the beneficial results that are desired. But there cannot exist, of course, the positive assurance that this will always be the case. There are many reasons why this is true. Possibly the people who decided upon the action evidenced poor judgment in arriving at that decision. Possibly the principal did not fully understand the nature of the action or the effect it was intended to have upon his mode of operation. For these and other reasons it is the function of the responsible official to make appropriate checks to compare the actual results with those the action was intended to produce.

The first part of the paper discusses the importance of the study of the history of the United States. It is argued that the study of the history of the United States is essential for a full understanding of the country and its people. The second part of the paper discusses the importance of the study of the history of the world. It is argued that the study of the history of the world is essential for a full understanding of the world and its people. The third part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The fourth part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The fifth part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The sixth part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The seventh part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The eighth part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The ninth part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world. The tenth part of the paper discusses the importance of the study of the history of the United States and the world. It is argued that the study of the history of the United States and the world is essential for a full understanding of the United States and the world.



It should never be assumed that the results obtained from the action are incomplete agreement with those desired. Neither can it be assumed that the action was entirely appropriate merely because there are no outward indications to the contrary. There is but one way to determine, with accuracy, the true character of the consequences. And that is by thorough and timely follow-up. Follow-up by the responsible superior or by fully capable subordinates, with justified frequency. This is a responsibility which the appropriate official should delegate to others only when such an arrangement is clearly justified.

The technique of effective follow-up calls for attention and concern and interest of about the same character and degree as was called for in the original handling of the case. The ineffectiveness of some follow-up practices is very evident. For example, it often consists of obtaining the reactions of the individual primarily involved. Many times his reactions will be inaccurate and inadequate. This is true not so much because the individual will distort the facts, but primarily because it is very difficult for him to evaluate accurately a situation in which he plays so vital a part. Consequently, it is well to consult with those who are best able to offer valid information based on impartial consideration. The frequency and intensity of periodical checks should be determined by the actual circumstances rather than by means of any predetermined schedule. For no one can decide in advance just how much follow-up will be required. Obviously, when it is possible to determine definitely the acceptability of results no further checks will be necessary. And they should be avoided, for the same reasons that unjustified attention to any situation may create adverse effects.

Actually, when the responsible officer is making these checks he is not only determining the propriety of the action but is checking, as





well, upon the accuracy of his judgment in deciding upon that course of action. If it is determined that the results obtained are not acceptable, it becomes immediately evident that a deficiency crept in somewhere along the line. Possibly this situation was caused by an error in the judgment of the official who rendered the decision. If that is the case, he should be the first one to admit it. For to err is human; a frailty, if we want to consider it as such, that is possessed by supervisors as well as those they supervise.

5. Fully utilize the experience. After the investigation has been completed, the important evidence has been considered, a definite course of action decided upon, and that action has been taken, there still remains to be performed a very important administrative function. And that is simply this. The full utilization of the knowledge and experience gained in the case.

We readily admit our guilt with respect to repetition when we once again offer this statement. Problem situations represent the most valuable resource on which to base improvement and progress. To use his problems to the fullest advantage is the mark of the able administrator.

It sometimes appears that certain administrators think that there is something of a derogatory character associated with the finding of a sub-standard condition in their operations. It seems to be the strong tendency in some organizations to keep under cover, to try to forget as promptly as possible, any delinquency or deficiency that may have come to the surface. Under such a misguided policy as this, one of the greatest sources of knowledge on which to base improvement effort is lost. The organization which is suffering from such a severe case of



The first settlement in Boston was made in 1630 by a group of Puritan settlers from England. They came to the city in search of religious freedom and a place to practice their faith. The settlers were led by John Winthrop, who was elected the first governor of the Massachusetts Bay Colony. Winthrop's vision of a "city upon a hill" became a central theme in the city's history. The settlers established a strict code of laws, known as the Massachusetts Body of Liberties, which provided a framework for the colony's governance. The city grew rapidly, and by 1639, it had a population of over 1,000 people. The settlers were faced with many challenges, including harsh winters, food shortages, and conflicts with Native Americans. Despite these difficulties, the city persevered and became a major center of commerce and industry. In 1780, the city was captured by British forces during the Battle of Boston. The British occupied the city for over a year, and the city suffered significant damage. However, the city was eventually liberated by the Continental Army in 1783. The city's history is a testament to the resilience and determination of its people. It is a city that has shaped the course of American history and continues to be a major center of commerce and industry.

myopia seldom fails to evidence the presence of this affliction in the quality of management that is present generally. It is often characterized by out-moded practice, substandard performance and production and a generally static climate.

We need only to recall scientific and technological progress, in general, to recognize the validity of this concept with respect to problem utilization. How far advanced in the aviation field would we be today if the Wright Brothers had been blind to their mistakes and problems and had they not analyzed them carefully in order to determine ways to bring about correction? And the same is true with respect to the other several fields of accomplishment in which great leadership was provided by such people as Marconi, Edison, Franklin, Pasteur, and Salk. These personalities would be virtually unknown today and their achievements might not yet have been realized, had they not faced their problems in a forthright manner and used their failures as the basis for revision of their future efforts.

Every manager should derive the fullest benefit from every mistake, every delinquency, every deficiency that comes to light, regardless of whether the individual responsible is himself, or a superior, or one of his subordinates. And the manager's major concern should be to determine the causes of these developments. Then, to anticipate the chances of their happening again, to identify the areas which are as vulnerable as the one in which the happening occurred, and to decide what can and should be done to avoid a recurrence. The manager cannot bring about substantial improvement in his operations if he is blind to his problems, if he deliberately tries to cover them up, tries to keep others from knowing about them, and tries not to recognize these conditions for what





they really are. No problem case is solved, completely, until every thing is done that needs to be done throughout the organization as the result of full utilization of the knowledge and experience gained by virtue of the occurrence. Until every logical effort has been made to prevent a recurrence and to avoid a similar occurrence elsewhere in those operations and areas which appear clearly to be vulnerable.

### A FEW BASIC PRINCIPLES IN PROBLEM HANDLING

In the preceding we have attempted to outline an orderly procedure for the handling of people problems. Of course, in the application of this procedure, or any other one for that matter, there are a number of basic principles which need to be observed. We are listing a number of them which should be kept in mind constantly in order that the results that are obtained may prove to be most satisfactory from the standpoint of all concerned.

1. Face up to the job promptly and be equally prompt in carrying it through to a definite conclusion. One of the surest ways to lose confidence and respect of subordinates is to fail to initiate action when the need for action is obvious, or to let the case drag out unnecessarily after it has once gotten under way.

2. In the course of the investigation make certain to obtain all of the important facts. Do not permit relatively unimportant details to subordinate the items of major concern.

3. In all of its phases, deal with the situation in an unbiased and impartial way.

4. Under no circumstances betray the confidences of those involved. To do so, is a very effective way to lose the respect of working



associates, subordinate and superior alike.

5. Always give the principal involved full opportunity to present his side of the case. And give full and impartial consideration to the evidence he presents, not failing to give appropriate consideration to extenuations and "outside" influences, even though they may not be "official" in character. For it was these or other influences that caused the individual to act as he did.

6. See to it that all aspects of the operation are maintained in proper perspective. Guard against making mountains out of molehills and be equally certain that mountains are not depreciated to mole hill stature.

7. Keep an open mind. Recognize that the investigation may disclose that the principal is "in the clear." When that is the case, let him know at once. He needs, and is entitled to have, the reassurance provided by that knowledge.

8. It may first appear, from consideration of the effects alone, that a serious infraction was committed or that the principal is guilty of gross negligence. Thorough investigation may reveal the inaccuracy of this tentative conclusion. Thorough investigation may disclose that the individual was compelled to act as he did. Or that, under the circumstances, his actions may entitle him to favorable consideration rather than some form of censure. When such a determination is made the proper course of action may be of commendatory character. The action that is proper, based on the true circumstances, should be taken, and should not be influenced, in any way, by original reactions based on incomplete or erroneous data.

9. In personnel problem cases, it is not unusual for several employees to be directly involved. When that is the case, all principal





participants should be kept currently informed of developments. Also there are usually many other individuals who improperly consider that the case is of concern to them. But their concern is seldom prompted by other than curiosity. Those in this latter group have no right to receive official information of this character when they are not individually involved. The responsible officer must display keen judgment in deciding upon the kind of information this group should receive and the kind that it should not be given.

10. Never lose sight of the fact that the "time cure" seldom solves anything. Of course, it is true that many cases "work themselves out" apparently with no one suffering ill effects. Usually, this is nothing more than a superficial appearance. For, in those cases, the problem and its cause, are often transferred elsewhere with the result that the difficulty has merely been shifted from one location to another.

11. "Abnormal" personality cases cause no small number of the manager's problems. Unfortunately, some seem to think that they are justified in disregarding a temperament problem in order to avoid "hurting" the individual. Actually, this is only an escape mechanism, a rationalizing effort to avoid the issue. It is seldom that anyone suffers when a personality problem is properly handled. And it is not unusual for the actions of the "maladjusted" one to exert undesirable influences upon others. Obviously, such cases call for positive attention. It is not the manager's responsibility to treat the difficult maladjustment cases. It is his job to recognize the situation for what it is, to determine when professional treatment is called for and to take action to see that that treatment is provided. The average manager is capable of treating minor temperament cases just as he is capable of treating minor





physical injuries. But he should not attempt to administer to serious temperament maladjustment just as he should not attempt to treat serious physical impairments calling for professional attention.

12. It is very obvious, of course, that a deficiency that is recognized and effectively treated early will often avoid the development of a more serious situation. And that the longer the delay in dealing with a problem the more difficult it becomes. Just as is true of an intricate machine, the people who work together as a unit require continuing attention if that unit is to operate smoothly. In both instances, preventive maintenance is a necessity. For by providing it the development of many of the conditions which tend to reduce efficiency will be avoided. That corrective measures are usually more difficult and more costly than preventive ones, is a well established fact.

#### CONDITIONS WHICH CAUSE PERSONNEL PROBLEMS TO DEVELOP

Many personnel cases which result in the necessity for removal or other drastic adverse disciplinary measures are caused by substandard management practices, by poor supervision. There are many illustrations we could cite. Improper assignments, temperament difficulties, lack of appropriate consideration for the individual, failure to deal positively with infractions at the outset, and down-right lack of managerial competency are just a few. One circumstance which contributes to some degree, at least, results from changes within the individual employee. These changes may relate to attitude which may be strongly influenced by mental disturbances brought about by situations existing in the work situation, or from "outside" developments. Temperament characteristics, particularly those which the individual is unable to

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control inadequately frequently create conditions which may ultimately justify some form of drastic action.

Can't Fire Anyone

How many times have you heard the statement "I can't fire any of my people?" Those who have worked with public agencies have probably heard this comment made all too often. It is, of course, extremely unfortunate for such a viewpoint to prevail any where. And in some instances there is not much justification for it. Not infrequently, such an attitude is indicative of a serious supervisory deficiency. And its presence might well prompt question as to the proficiency with which the other responsibilities of that managerial officer are being carried out.

It is seldom that there is need for firing employees, by reason of their wrong doing, who are selected on the basis of their qualifications for the work to which they are assigned. However, on occasion it is in the definite interest of the organization and of the individual to effect his release. Selection methods are not now and never will be infallible. A few who do not measure up will sometimes be employed. Of course, this is most likely to occur in new organizations which are required to set up adequate staffs in such a short period of time that appropriate care in selection could not be exercised.

In any event, all managers should be fully aware that removal of the subordinate represents a course of action which must, at times, be accomplished. The superior officer who is doing his job properly does not refuse to recognize his responsibility and does not attempt to avoid redeeming it when he is confronted with such situations. He proceeds to do something constructive about the situation and carries it on to a logical conclusion.





The less than fully competent supervisor may look for a way out. He may spend considerable time and a great deal of effort trying to convince himself, and probably others too, that he should do nothing or that he knows what he should do but is prevented by "policy." He may try to hide behind his misinterpretations of regulations. Of course, when this happens everyone pays the price, the organization, the supervisor, and invariably the subordinate principal. It seems to be unnecessary to point out that failure to recognize problem cases and failure to act properly in connection with them, represent two of our greatest management weaknesses. The general situation in this respect seems to call for considerable attention, followed by forthright and positive action, by all who do or may occupy managerial jobs.

#### Passing The Problem To Others

In the handling of any difficulty arising from the acts or omissions of subordinates, the superior might follow a number of alternative courses. One of these courses of action which was mentioned briefly before, is of such flagrant character that some further amplification is thought to be justified. It is entirely possible that the practice we refer to is resorted to more frequently than might appear on the surface. This practice, in the jargon of the management field, is "passing lemons." Essentially, it is the practice of deciding that a subordinate is unsatisfactory in the organization of that particular manager but that the individual is precisely the one for whom some other unit has great need. Almost invariably, in such circumstances, the deficiencies of the principal are discounted or are entirely overlooked in the process of attempting to get him assigned elsewhere. At times he may be credited with many unpossessed virtues, all of which will be vehemently lauded.





The supervisor of the problem employee may go so far as to furnish favorable information that is grossly exaggerated in his effort to sell someone else something which he does not want. The character of such action may, at times, approach down right falsification. When the management practices in any organization permit any of its "managers" to get away with this sort of thing, a chain reaction producing vicious results is a real possibility.

The superior officer who is the recipient of the undesirable or unqualified individual soon discovers that someone has been sold a bill of goods. Often, the first reaction, and sometimes the last one, is to try to get rid of the problem in the same way in which it was received, by passing it on to someone else. And the same kind of tactics may be used in an effort to accomplish this. If such efforts are allowed to continue unchecked, no imagination is needed to visualize the consequences. Usually, the individual who has been passed around is on the receiving end. And the end comes only when, somewhere in the chain, a really capable manager faces the situation and acts. Unfortunately, the officer who started the reaction, and all those who followed his pattern, frequently are permitted to continue to operate in this same way. The general practice is, of course, a very costly one. So costly that no organization can afford it. And substantial or complete elimination of it can be assured only when there are fully qualified management people at the top.

#### Leaving Out The Principal

It is always well for us to recognize the possibility that the problem employee himself, may, in many instances, contribute substantially to the solving of the problem. Possibly he would be able to do more than





anyone else. For, in the final analysis, the individual is in the best position to alter his way of doing things. If there appears to be the remotest chance that the principal will be able to provide even the slightest bit of assistance it is well worth the effort to give it a try. Certainly, he can do little to help himself if he is not fully aware of the extent and character of concern resulting from his actions.

Consequently, it is normally best, as the first step, to fully acquaint him with the fact that an unacceptable situation appears to be present because of his acts or his omissions. It is obvious that the employee's interest in the case is at least as great as that of the supervisor or of anyone else. No one has greater cause to be interested. Usually, he will exert a real effort to try to do whatever is necessary to clear up the situation. This practice is nothing new or different. It represents an important feature of staff utilization. As a basic principle, the supervisor needs only to keep in mind that in redeeming his responsibility for full staff utilization those of his subordinates who are primarily involved will often contribute as much or even more than those who are not.

#### Solution Is Often Easier Than We Think

There is another factor that is worthy of our consideration. We should always recognize that situations which at first appear to be most complex may be subject to solution merely by arranging for logical re-assignment. The arrangement of people in such a way that they may contribute the most to the common objective, and may derive the maximum satisfaction from their work is a real challenge to the manager. To accomplish this is a major function which calls for his continuing attention and effort. Initial assignments may seldom be looked upon as final ones. Even the very best placement efforts will occasionally





result in the placement of square pegs in round holes. As a consequence complete correction of a rather extreme situation frequently may be accomplished by reassignment of the principal in the case. And it frequently happens that the problem is not only thereby solved but results in substantial improvement as well. Once again, the manager needs to know what the individual subordinate wants, needs to know the nature of his preferences with respect to the work situation. Usually, his desires will be reasonable and possible of attainment. Whenever that is true, these individual desires should be met to the extent practicable and feasible.

#### Anticipate And Prepare For The Obstacles

There are, of course, many hazards and deterrents inherent in the handling of difficult problem cases. It is these deterrents which tend to discourage the superior officer who is making a sincere attempt to do a good job. When he encounters these difficulties it would be unusual for him not to regret, at times, that he ever initiated the action. But the fully capable superior does not allow such obstacles to permit deviation from the proper course. While the ones who are considerably less capable frequently succumb to these handicaps.

Among these deterrents there is one which occurs with considerable frequency, particularly in the more serious cases. This is a practice of counter-charging which is resorted to by some individuals. At the very outset, the possibility of a counter-charge should be anticipated. The accused resorts to such tactics for one primary reason. He is attempting to cloud the issue. He wants to divert attention from himself. The inexperienced superior officer may fall into this trap and immediately go on the defensive. His decision not to permit such diversion





to occur should be made before the action is initiated. And that decision should stand. For under such circumstances the cases of the accused and of the accuser are usually separate and distinct. They should be treated just that way. While the proper course of action will be dictated by the circumstances of the individual case, it is normally best to proceed to the conclusion of the case first begun before devoting a great deal of attention to the counter-charge.

#### The Time Required For Proper Handling Is Fully Justified

It is very evident that the handling of problems involving people is a time consuming operation. While the benefits that result from proper handling are always worth the effort, it is not unusual for the case to produce some ill effects even though an efficient job was done. The final results cannot be evaluated solely by consideration of the immediate effects. The potential benefits, both those that are evident and those that are probable, are the important considerations that need always be taken into account. And with but few exceptions, the potential beneficial results will offset any immediate effects that are somewhat undesirable. The paraphrasing of one of our previous statements appears justified: "Promptly facing the issue and carrying the case through to a logical conclusion characterizes the operations of the able manager."

#### The "Equal Penalties" Hazard

How often do we hear the statement "equal penalties for equal offenses?" And how often do we observe full agreement as to the logic of that statement? The truth is, however, that even though the principle is valid it has no practical application for the reason that no two offenses are ever equal. There are always some differences, possibly



slight and not readily apparent, but differences are always present.

Even though the acts, or the omissions, in two separate cases may have been, for all practical purposes, virtually identical, the circumstances are never identical. Often different people are involved, as well as different places, and different times, and always different circumstances. For these reasons, this principle, which fairly exudes fairness and impartiality, is nothing more than a superficial platitude. We must admit that it does serve the purpose, rather admirably, of favorably impressing some by its very presence in a high sounding statement of policy.

A great deal of harm can be caused by any attempt always to apply literally the provisions of this principle. In an apparent attempt to apply the provisions of the principle, some organizations develop offense penalty charts which virtually prescribe the penalty that is appropriate for each of a number of specific offenses. The danger in this practice lies in the degree of attempted adherence. The less experienced manager may attempt to adhere rigidly, with disastrous results, sooner or later almost inevitable. Such a chart will do no great harm if it is used properly, as a general guide, a very general guide.

In Part II of Section 15, which follows, we will consider a number of typical "Personnel Cases," including the manner in which each was handled.







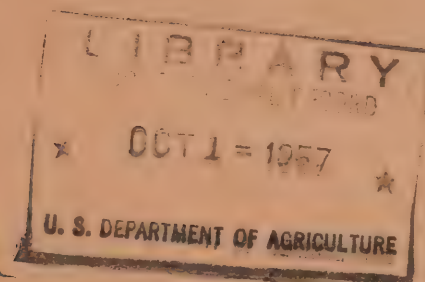




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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION



CORRESPONDENCE COURSE  
IN  
MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 15 - PART II  
HANDLING PEOPLE PROBLEMS

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WASHINGTON, D. C.  
1957



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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 15 - HANDLING PEOPLE PROBLEMS (PART II)

A FEW TYPICAL PERSONNEL CASES  
AND HOW THEY WERE HANDLED.

The practices and the methods we have just outlined should not be difficult to apply. But experience indicates that some managers do find it difficult to deal effectively with people problems. It may be helpful to illustrate, by cases, the effective as well as the ineffective application of these methods. Some of the cases we will describe were handled poorly, some exceptionally well and some received little, if any attention.

As we review each of these cases we should be looking for the underlying cause of the trouble, the basic principles that were applied and those that were disregarded, and other administrative attributes or deficiencies that were evidenced.

CASE NO. 1 - THE MISFIT EMPLOYEE

The Facts

The employee principally involved was about middle age. He was college trained in the profession in which he was employed. During nearly twenty years practical experience with one organization he had been able to advance to but a very limited extent. The position he occupied, after all these years, carried little responsibility and a correspondingly low salary. Most of the other people in the same





organization with comparable education and experience occupied much more responsible and higher paying jobs. Consequently, many of his co-workers at about the same level were considerably less experienced and usually quite a bit younger.

The situation this individual found himself in became increasingly difficult for him. He was very unhappy about the whole thing and the members of his family shared this feeling with him.

Naturally, he could not get his own situation off his mind. He talked about it at every opportunity. Of course, his work suffered considerably because of his feeling of frustration and because of the great amount of time he devoted to thinking and talking about his problem.

A review of his personnel file showed that he was first employed under a probational appointment. During the probationary period of one year it was the responsibility of the organization, of his superiors, to observe his performance carefully. If at any time during the probationary period it became reasonably evident that his chances of enjoying a normally successful career in his chosen field were remote, the organization was charged with the responsibility of promptly terminating his services.

The record further revealed that during the probationary period his superior frequently reported substandard performance. Nevertheless, in spite of his poor showing, at the end of the period of probation his boss recommended that he be retained, and those with the authority to make the final decision concurred in that recommendation.

#### How The Case Was Improperly Handled

A serious mistake was made early in the career of this employee. The supervisors under which the individual worked and the superiors of those supervisors were entirely at fault. As soon as it had been deter-



mined, after adequate trial, that this employee would probably not enjoy a normal career in this field of work, he should have been released. And that action should have been taken as soon as this discovery was made.

Of course, he should have been fully informed of the circumstances which caused the people in authority to decide upon this course of action. At that same time, his demonstrated attributes and virtues, as well as his deficiencies, should have been discussed with him in appropriate detail. And he should have been provided with all reasonable aid in an attempt to determine the type of work for which he was best suited. Furthermore, the organization would have been fully justified in furnishing all reasonable assistance in an effort to help him locate other suitable employment.

#### The Results

After this individual had "survived" the probationary period, the general feeling that prevailed was that the organization was now stuck with him. Apparently, the responsible officers of the organization thought it was then too late to attempt to correct the situation. As we might expect, there is no evidence which would indicate that anyone ever spent the time and effort necessary to discuss the situation thoroughly with this individual. But, ironically enough, his case served as the frequent topic of discussion among other employees when the principal was absent.

The general belief during all of these years that it was too late to try to do anything beneficial appears to be without justification. Possibly that belief was merely an escape tactic, an excuse for failure to act. It is true, of course, that the longer the situation continued the difficulty of correction correspondingly increased. Nevertheless, it





was certainly not too late to try to do something helpful during the first few years and possibly not too late after twenty years.

A very serious mistake, on the part of the responsible management force occurred at the outset. That deficiency was perpetuated by several during the ensuing years. The price that was paid for that deficiency was extreme. This lack of action resulted in making the lives of at least several people extremely unhappy. Of rather less importance, the general efficiency of the organization was impaired to more than a minor extent.

This case appears to bring out rather clearly that the destiny of the individual is controlled to a very substantial degree by the people for whom he works. As that is true, it is impossible for those with responsibility of this nature to operate with real effectiveness until they are fully aware and accept the gravity of their responsibility to their people.

This individual continued in essentially the same line of work, and at approximately the same level, for the greater portion of his life. All of this time it was evident to him that something was wrong. It was equally evident to those who were in a position to help him. But they did nothing, at least nothing of any particular consequence.

While additional facts about this person are not available at this time, it is almost a certainty that his situation remained unchanged until he reached retirement age.

#### CASE NO. 2 - THE PERSECUTED EMPLOYEE

##### The Facts

This individual was well educated, possessing several degrees from leading universities. During the greater part of his career he had been principally engaged in the profession for which he was formally trained.





He had held several highly responsible positions.

At slightly past middle age, he occupied an administrative position of about average responsibility, having a total subordinate force numbering in the neighborhood of a hundred people. This job was, however, at a somewhat lower level than a number of the assignments he had previously held. In a number of instances, his associations with positions formerly occupied were terminated rather abruptly, and under circumstances which could hardly be considered completely amiable.

This individual evidenced many characteristics which were considered as being quite unusual, by many of his associates in the large organization with which he was employed. He was extremely critical of others in the organization, both superiors and subordinates, and especially the former. Most every action of any significance on the part of his superior was, in the opinion of this man, designed primarily to serve as a detriment to him. It was his practice to be openly critical of his subordinates and to embarrass them deliberately in the presence of others. Whenever anyone at about the same position level in the organization, received a promotion he invariably voiced the opinion that it was a poor choice, and that his own talents were never recognized. In brief, he clearly evidenced the feeling that he was always on the receiving end of a raw deal.

It was apparent to most everyone that he was down on the world and that he thought that everyone in it was down on him. Of course, he was far from popular with his official associates. Very few people were able to work with him and almost no one was willing to work for him. The situation required constant special attention on the part of his superiors. It was necessary for them to refrain from assigning certain types of





activities to his unit. And selection of persons for assignment to his staff always presented major difficulties. These and other variations from the normal pattern of operation were frequently necessary.

This individual was continued in the same capacity until he voluntarily severed his official connection with the organization. It hardly seems necessary to state that when this happened a great many people were greatly relieved.

#### How Should This Case Have Been Handled?

Admittedly, this individual possessed a great deal of ability. However, early in his career it was very evident that he experienced considerable difficulty in working with other people. The attitude that almost every official action was designed to serve as a deterrent to him was doubtless in evidence from the time he first started to work. Probably well before that.

The extreme nature of this characteristic should have clearly indicated his unsuitability for administrative work. And it should have been equally evident that the individual was urgently in need of help. He needed assistance to attempt to revise his entire outlook on life. It should have been further evident, very early in his career, that the degree of seriousness of this condition fully justified professional treatment. But the true character of the condition was apparently not recognized or, if it was no positive effort was made to see that he received the help he needed.

During the early part of this individual's career he obtained, with unusual rapidity, increasingly responsible administrative assignments. He was very aggressive and was always on the lookout for a bigger job. In all probability, this state of constantly increased responsibility tended





only to aggravate the general condition. In the absence of knowledge, on his part, with respect to the true situation, he was led to believe that his administrative performance was more than acceptable and that he was being rewarded for this attribute by frequent advancement. Each time his scope of influence became greater, still more people were subjected to his personality weaknesses.

The blame, if we may call it that, for this misunderstanding would appear not to rest with the individual, but with those who were responsible for directing his official career, particularly during its early stages. The entire situation developed, was allowed to continue, and to become worse because of a series of mistakes by a large number of people who were considered to be able administrators.

It would seem clear that a number of valuable lessons may be learned from the way in which this case was handled. Here are a number which to us appear to be worthy of recognition.

1. Serious temperament deficiencies need to be recognized early. The individual in need of professional treatment should be identified and a positive attempt made to see that the needed attention is provided. It is not the responsibility of the average manager to attempt to administer the kind of treatment needed in the more serious maladjustment cases. But it is the responsibility of every manager to attempt to identify such cases and to make a definite attempt to see to it that the needed treatment is received.

2. Those individuals who do not possess certain basic qualifications should not be selected for assignment to administrative positions. Of course, before this safeguard may be effectively applied it is necessary to identify the needed basic qualifications.





3. It is seldom, if ever, too late to attempt to correct or to improve a personnel problem case. There must not be hesitancy to take the action that is clearly justified but which might appear to affect adversely one individual, if such action will result in substantial benefit to others. Naturally, in such cases, there are many types of appropriate actions other than separation of the principal.

CASE NO. 3 - NEGLECT OF DUTY BECAUSE OF  
PERSONAL DIFFICULTIES

Matters of personal concern to the individual employee exert a definite influence upon his official performance. This concept may not be successfully refuted. Nevertheless, there are some individuals who entertain the opposite view. This attitude has been revealed on numerous occasions. But its revelation was most positive in a statement a superior once made to a subordinate. He said, "I hired you not your family." The following case will, in a very conclusive way, point up the fallacy of the opinion that this boss expressed.

The Facts

This individual was somewhat below middle age, was college trained, and had some ten or twelve years of practical experience in the work for which he had been formally educated. He had occupied a moderately important position in a large organization for several years. Normally, his total subordinate force consisted of thirty to forty people. The quality of his performance during most of that period had been average or somewhat above. However, certain deficiencies in his operations started showing up. Only a few minor ones were apparent at first but they seemed to increase steadily in number and seriousness.

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His immediate superior made the statement, after the situation had been developing for sometime, that he had recognized what was happening all along. However, he did little if anything about it until the condition was considerably advanced. Even at that time the boss dealt with the situation only in a half-hearted way. He probably realized that he should do something but wasn't too certain as to the proper thing to do. He set out to obtain some of the facts and did get a part of them but not all. In the course of his rather superficial investigation he did not discover the basic cause, that his subordinate was greatly concerned about his personal financial situation.

This employee only partially revealed to the boss the extent of his financial obligations and the supervisor did not check on the accuracy or completeness of the information that was given to him. The superior helped the individual prepare a budget which provided for the meeting of some of the obligations on an installment basis. But the supervisor did not check up to see if the agreed upon budget payments were being made. All of this time the condition of the work continued to get worse. Finally, the supervisor verbally reported the situation to his boss in the central office and requested help. Immediately, a member of the unit from which help had been requested was assigned the job of investigating the case.

#### The Way The Case Was Handled

A thorough investigation was initiated. It was participated in by the principal employee, his boss and the representative of the central office. Many disturbing facts were immediately uncovered. The condition of the employee's work was considerably worse than had been anticipated. The employee was not adequately familiar with what his subordinates were doing or with the status of the work for which he was held responsible. It





was clearly evident that the deplorable condition of his official operations was directly attributable to his great concern about his personal difficulty. His financial obligations, in relation to his annual income, were extreme.

Many of these obligations accruing on a regularly recurrent basis were not currently met. It was learned that these debts were not liquidated currently because the employee and his family were attempting to keep pace socially with other local residents having substantially greater incomes. To make things worse, the employee had not revealed the true financial situation to his wife. Before very long he was in so deep that if he had regularly used a quarter of his income to pay off his outstanding obligations it would have taken him a substantial period of time to get in the clear. And besides, a radical change in mode of living would have been necessary.

When considerable evidence of the character described had been accumulated it seemed to be very evident that the job of solving the employee's financial problem was virtually hopeless on his current salary. As the principal took an active part in the investigation, all of these facts were discussed with him in detail as they accrued. He was given the fullest opportunity to present his views and offer his suggestions.

After thorough and frank discussion of all of the pertinent circumstances by the supervisor, the principal, and the central office representative, the case reached what appeared to be a logical conclusion, a not unusual happening when situations are dealt with as this one was. It was not particularly difficult for the principal to recognize that correction of his general situation would be most difficult on his present earnings. Acceptable improvement was not outside the realm of possibility but would require considerable personal sacrifice on the part of himself and the





members of his family.

Based on his recognition of this so obvious fact, he requested the opportunity to resign and his resignation was accepted. Within a very few days he secured another job, an assignment with duties not closely related to his former profession but providing a wage almost double his former one. With this increased income, and in an entirely new social environment, within a comparatively short period of time he was able to pay off his debts and to get a new start.

The manner in which this case was developed and the way it was handled seems to bring out a number of highlights worthy of recognition.

1. The formal investigation was very thorough. Was conducted with the full knowledge as well as the full participation of the individual under investigation. As soon as adequate facts were accumulated the investigative effort was discontinued. Considerable unnecessary time was not expended in running down unimportant leads and in assembling superfluous data.

2. The case was considerably advanced before the responsible superior requested assistance. Had he operated as an officer at his level is expected to do, he would have realized the necessity for positive action with much less delay. He should have maintained the necessary degree of control to be sufficiently familiar with the operations of this subordinate to recognize the need for attention not long after that need developed. And he should have taken appropriate action, which may have included a request for assistance, as soon as the true character of the situation made its appearance.



3. Had this case received the right kind of attention at the proper time, it is quite probable that the results would have been much more favorable. Under those circumstances retention and rehabilitation of the employee would have been the prime objective. And it seems probable that such an objective would have been readily attainable.

#### CASE NO. 4 - CAPABLE BUT UNRELIABLE

Ability that is average, or even considerably above average, does not, standing alone, always represent positive assurance that the individual is an acceptable employee. For serious undesirable qualities may not be compensated for by unusual ability. It is the whole person that must be considered, not just a few outstanding attributes with little regard for glaring deficiencies. This case will, we believe, clearly demonstrate the validity of these views.

#### The Facts

This employee was about middle age, was well educated, and thoroughly experienced in his field of work. For several years he had occupied one of the high level positions in a relatively large organization. He was responsible to the chief of the organization for a number of important functions, including those relating to finances, procurement, and the like. His subordinate staff was sizeable.

It became increasingly evident to the chief of the organization that the official activities of this individual were not as they appeared to be on the surface. This condition was reflected in a number of ways. Routine supply items were purchased in considerable quantities without appropriate authorization. Official statements of the chief, which were confidential in nature, were being made available to unauthorized persons. It appeared highly probable that favoritism was being extended to





selected vendors in procurement transactions which were supposedly being conducted on a competitive basis. There were instances which indicated the probability that the employee was deriving personal financial benefit in connection with large purchase transactions.

All of these indications were clearly evident to the chief. The employee had shielded his official activities so effectively however, that sufficient positive evidence concerning these questionable activities was very difficult to obtain. The chief became convinced that these violations were extensive and flagrant and that their direct cost to the organization was substantial. The chief's first assistant, who was closely associated with the over-all administration of the organization was similarly convinced.

It seemed quite certain that the process of bringing to light the evidence necessary to justify positive corrective action would take a considerable period of time. That was true even though the surface evidence was entirely sufficient to convince the chief and his assistant that the removal of this employee was imperative. Such action would result in material financial saving to the organization and the removal of an extremely disruptive influence. The fact that adequate evidence was not immediately obtainable did not cause the chief to close his eyes to the true situation, or to fail to accept any of the responsibility that was properly his.

The chief's problem was made doubly difficult by reason of the surface appearance of this employee's work. Relatively frequent audits repeatedly revealed that the records of his operations appeared to be outstanding with respect to accuracy and completeness. Naturally, the auditors, and other officials not closely associated with the operations





considered this individual to be most competent. Their conclusions were, of necessity, based primarily on the routine records prepared by this employee and by his subordinates under his direction.

A short while after the apparent situation was discovered by this individual's superior, an official act committed by the principal was sufficiently flagrant to enable the chief to initiate removal action. These were the circumstances which provided the opportunity for the action that was called for.

The employee was presented, by his immediate superior, with a routine request for an important factual data report to be furnished by a reasonable deadline date. The employee fully understood the request, had available all of the basic data, and was given several days in which to accomplish a job which would require only several hours. At the time the request was made, the employee implied that the information would be available when required. Shortly before the deadline date, the report had not been prepared and when the chief followed up with the employee he flatly refused to make the information available. It was, of course, an outright case of insubordination.

The chief preferred formal charges against the employee. He was given full opportunity to present his side of the case, to explain or refute any or all of the elements present in the charges. His reaction was violent. He did not reply to the charges but filed a counter-charge against the chief. The counter-charge had no relation to the case in question. It contended that the chief had been negligent in his treatment of a case involving another subordinate.

The chief immediately presented a complete statement concerning the counter-charge to his immediate superior and, at the same time, requested that the circumstances cited be subjected to prompt investigation.





Further, it was urged that the two cases be considered as separate and distinct, that each one be dealt with separately on its own individual merits. This suggestion was accepted.

The principal, against whom charges had been preferred in the first instance, made no effort to justify his act of insubordination or any of the other circumstances which raised considerable doubt as to the acceptability of his activities. It appeared, from his actions, that his primary concern was to attempt to divert attention elsewhere, and resorted to counter-charging in an effort to accomplish this. The case was thoroughly investigated, the charges were sustained, and the employment of the principal was terminated.

Primarily as a matter of interest, the counter-charge against the chief was thoroughly investigated by officials in the next higher administrative level. The investigation disclosed that the chief had personally handled the case in question in a very thorough manner. He had taken positive action which he had considered proper in the light of his findings. It was determined, however, that he had erred in his judgment in deciding upon the appropriate penalty. The action he had taken was considered to have been too lenient. The investigation served to correct this error and to close the case which had its origin in the counter-charge.

After the principal in the original case had been separated, everyone, including the skeptical auditors, was in complete agreement that the action taken was both entirely appropriate and highly desirable. The removal of this employee resulted in greatly improved efficiency in the operations of the organization. A review of the case, particularly the way it was dealt with, points up a number of pertinent features which appear to be worthy of recognition.



The first part of the report deals with the general situation of the country and the progress of the work. It is followed by a detailed account of the various projects and the results achieved. The report concludes with a summary of the work done and the prospects for the future.

THE SECRETARY OF THE BOARD OF DIRECTORS  
TO THE MEMBERS OF THE BOARD OF DIRECTORS

REPORT OF THE BOARD OF DIRECTORS

1911-12

1. The chief recognized that the flagrant nature of the repeated violations dictated the need for positive action. He realized, and accepted the fact that the responsibility for doing something about the situation rested with him.

2. Inability at the very beginning to accumulate sufficient evidence on which to base some form of action was not used as an "out." It would have been very convenient, at that point, to resolve the local situation in one of several different ways. It would not have been difficult to arrange for a transfer in view of the surface appearance of this individual's record. But, of course, this type of action would have served only to transfer the problem elsewhere.

3. The investigation was thorough. The principal against whom charges were preferred was given a full statement of those charges. And he was given every opportunity to present his side of the case.

4. When the counter-charge was made there was no effort to cover it up. The individual primarily involved in the counter-charge took it upon himself to request his superior to arrange for a thorough investigation.

5. The counter-charge was not permitted to serve the primary purpose for which it was intended, to cloud the main issue.

6. The fact that all who were concerned with the case were in unanimous agreement that the results were highly beneficial to the organization conclusively proved the appropriateness of the action that was taken.

#### CASE NO. 5 - THE INCOMPETENT ADMINISTRATOR

Occasionally, a managerial officer will violate almost every rule in the book but will be allowed to get away with it, year in and year out. Under such circumstances it is seldom that the consequences are other





than disastrous, in more ways than one. Why is it that, at times, no positive effort is made to correct such a situation? This is, of course, a proper and logical question, and one that may appear to be difficult to answer. There is, however, no question as to where the responsibility rests. It would seem that we have no alternative but to conclude that the permitting of such practices to continue indefinitely is directly due to the presence of some degree of deficiency on the part of one or more administrative officials at superior levels. A case of this character is described in the following.

#### The Facts

The principal was about middle age, was college trained in his profession, and had approximately twenty years of work experience.

He occupied a fairly high level administrative position with a moderately sized subordinate staff. A great many of his administrative practices were deplorable. Here are some of them.

1. He devoted the great majority of his time to trivial tasks in which he was especially interested.
2. It was not particularly unusual for him to be absent from his post of duty for periods of several days at a time, without telling anyone that he was leaving, where he could be reached, or when he would return.
3. In the absence of certain of his subordinates he would be very critical of them. Such criticism would be expressed to other subordinates who served as co-workers of those criticised.
4. It was a rather standard practice for him to supply to his superiors information that was either incomplete or inaccurate in an apparent attempt to keep himself always fully protected.



5. He would deliberately avoid situations which he considered to be distasteful but which should have received his personal attention.

6. With but few, if any, exceptions he would assign to subordinates those jobs which were properly his individual responsibility but which he did not want to handle. A goodly portion of the situations he assigned to others for handling involved deficiencies on the part of members of his subordinate force.

7. He refused to face virtually any issue which appeared to him to be somewhat difficult to resolve.

These are typical of his deficiencies, and there were many others. Naturally he possessed some virtues. But they were few in number and much more difficult to identify.

It was very difficult to understand why these practices were tolerated by the responsible superior administrative officers. Naturally, the way this individual operated had a very demoralizing effect on the members of the subordinate group. Most of them were extremely unhappy with their work situations. Requests for transfer were frequent. And to these subordinates it appeared that the responsible superior administrators were not particularly concerned about the situation as no apparent corrective effort was being made. The subordinates wondered if the people in superior administrative levels were aware of the true situation. And, if so, they wondered why no corrective action was taken.

One of these questions was partially answered when a superior officer questioned one of the affected subordinates about the situation at great length. Specific inquiries were made and complete and accurate answers were provided. The inquirer was made fully familiar with the whole situation just as it actually was.





To what use did superior officers put the knowledge they now possessed? Apparently it was utilized not at all. For conditions continued without change.

What should have been done? And why wasn't some positive action taken? A check into the earlier career of this individual supplied some of the answers to these questions. A number of years previously he had become involved, as a result of his own acts, in rather serious difficulty in connection with his official operations. At that time several of the responsible superior officials concluded that his removal would be in the best interests of the organization. They were, however, over-ruled by higher authority. And as a consequence the individual was transferred to another location at essentially the same level of responsibility. It is not known if the full circumstances leading up to the transfer were thoroughly discussed with him at that time. It seems highly probable that they were not.

It is very obvious that a substantial number of administrative deficiencies were evidenced in this case. Consideration of the most important aspects proves quite revealing.

1. The first serious offense in which this individual became involved was dealt with in a very ineffective manner. Those who favored his removal were well qualified to arrive at that conclusion. Those in higher authority who decided that he should be transferred instead, were obviously not basing their decision on the facts. Had the employee been dismissed at that time the consequences would have been much more beneficial to both the organization and to the principal. At this stage it was a clear-cut case of reluctance, of actual refusal, on the part of those responsible to take positive and appropriate action. It would appear that





those who were directly responsible for the commission of this error were guilty of neglect of duty.

2. After the first error was committed it was perpetuated in the new situation. The individual's mode of operation on his new assignment appears to have remained virtually unchanged, right from the start. This could be anticipated as he was given little, if any, incentive to do otherwise. Failure to recognize this fact represents another serious deficiency. The officials then responsible appear to have been negligent for not having given the case the kind and amount of attention that was clearly justified. As a consequence, the individual's performance continued at the same substandard level.

3. Certainly, the two administrative failures so far described were bad enough. But a third of essentially the same character and of at least equal seriousness was committed in allowing the situation to continue indefinitely. The thinking behind such inaction, on the part of those responsible, almost defies explanation. It would be natural to believe that they justified in their own minds what they did or rather did not do. Presumably, they considered their decisions to be justified. For reasons known only to them. To make still more mistakes while attempting to justify a previous one is not an unusual circumstance. This apparently happened here. As time went on the "do nothing" attitude was probably justified on the theory that it was then "too late." This is a rather worn-out excuse that often is utilized in an attempt to justify letting things go too long as they are. In this instance it was never too late. And with but occasional exception this is true in most cases involving managerial delinquencies.

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In the situation in question there probably existed the additional excuse of not wanting to "hurt" anyone. In many instances, including this one, this attitude results from nothing more than superficial thinking. Failure to take appropriate action which would have directly affected one individual produced the positive result of adversely affecting many. The many were all those people who served under the direction of this individual. It would seem to be clearly evident that such a basis for lack of action seldom makes sense. Also, the idea that the principal will always suffer ill effects from the proper kind of action is, many times, subject to serious question. Actually, the individual will frequently derive real benefit.

As a matter of fact, this case could have been painlessly corrected in its later stages, even after it had been so poorly handled at the beginning. The principal could, and should, have been assigned to a specialized job with little or no administrative responsibility. He probably would have been just as happy in that kind of work. Possibly a great deal happier. Most certainly the taking of that action would have avoided much unhappiness on the part of many, those who were so unfortunate as to be compelled to look upon this individual as their boss. The efficiency of a sizeable organizational unit would, over an appreciable period of time, have been vastly improved.

Many of these difficulties could have been avoided without any great amount of effort. A vastly improved situation would have resulted from the application of these few simple principles:

1. By promptly recognizing the real character and seriousness of the problems.
2. By adopting the attitude that it is usually possible to bring about improvement regardless of the length of time the situation has existed.





3. By never hesitating to take justified action which might adversely affect one individual if it is probable that others will derive substantial benefit.

4. By taking timely and appropriate action as justified by the true conditions.

CASE NO. 6 - A NEW SUPERVISOR INHERITS A POORLY  
MANAGED WORK UNIT

Very frequently, of course, a manager is put in charge of an operation that is already "going." One that is already fully staffed. Naturally, the administrative competence of the predecessor exerts considerable influence upon the character of the situation in which the new boss finds himself. He must identify the true state of affairs, arrive at valid conclusions, decide upon the plan of action that he considers to be most appropriate under the circumstances that exist, and proceed in that manner. The case we are about to discuss is based on just such a set of circumstances.

The Facts

A young technically trained employee with practically no experience in handling people was assigned to his first job as a supervisor. The subordinate crew of ten workmen were all considerably older, and possessed a great deal more work experience, than their new boss.

The previous supervisor had had considerable trouble with his crew. Naturally, the new supervisor immediately encountered the same difficulties. Here are some of the conditions with which he was faced:

1. A number of the men were openly unfriendly toward the other members of the crew as well as toward the new supervisor. They seemed to go out of their way to cause the other fellow trouble. Cooperation with-

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in the group was in decidedly short supply.

2. Each member of the crew was experienced and capable of high quality performance. The work turned out was, however, frequently below standard in many respects. They seemed to take no interest in, and derived little satisfaction from doing good jobs.

3. As soon as one job was finished the workers would wait for the supervisor to assign them something else to do. There was little concern displayed for what they were to do next.

4. Their first interest seemed to be that of getting in their time and receiving their pay checks. They never volunteered to do any extra work.

5. Suggestions for doing jobs quicker or better were seldom offered.

6. The crew members appeared reluctant to discuss their work with their supervisor. They would talk about their operations only when approached by him and then with some evidence of reluctance.

7. They would seldom ask the supervisor for help nor would they offer to help him when it should have been evident that he needed it.

This new supervisor was, obviously, not as familiar with the details of the work operation as were the members of his crew. He recognized this fact. He also recognized that his job was to direct his crew so they would continuously turn out an acceptable volume of high quality work. With this objective in mind he set about analyzing the situation as it existed. All of the time he was attempting to determine just how he would like to have his boss operate if he were a member of the crew, instead of the crew boss.

Here are some of the conclusions he arrived at and some of the things he did:

1. He believed that his men were entitled to know how their individual jobs and the work of the unit fitted into the total operation. And that they





had a right to understand the relative importance of the work of their unit. He called the group together and explained these points as thoroughly as he could. There was ample opportunity provided for each member of the crew to express his views, to ask questions, and to get complete answers. The supervisor went into some detail in explaining the relationships among among the several jobs carried on by the group. He made it clear that good work by the unit cast a favorable reflection upon everyone in it. And that poor work resulted in unfavorable reflection upon each man. That by helping the other fellow the individual was actually helping himself.

2. The new supervisor knew how good it made him feel to be given a deserved word of praise now and then. He concluded that his men would react in the same way. At least, it was worth trying and it wouldn't cost anything to find out. The supervisor deliberately looked for things each man did that justified a pat on the back. He found those things. He complimented his men, in a very sincere way, for good work. He let each one know how interested he was in helping him to do a good job. But he did not stop there. He made certain that higher officials were informed of quality performance by the individual members of his crew.

3. The supervisor learned that the boss before him had never handed out individual assignments until just before the work was to be started. The former supervisor had not told the worker what he was to do next until he had finished the job he was on. As a result, the men never knew what the next job was to be or what was expected of them until the very last minute. As a consequence, they had almost no opportunity to plan their work. The new supervisor radically changed this practice. He did not, however, criticize his predecessor, or tell the crew members that he was going to make changes in the way things were done before. He just went ahead and did it.





4. The new supervisor adopted the practice of giving each man his individual assignments as far ahead as was possible. These assignments were made in group discussions so that all were familiar with all of the current planned operations of the unit. Each one knew what the other fellow was doing and what he was going to be doing. Most of the operations of the unit were, to some degree, inter-related and inter-dependent. Under this plan it became evident to all of them that their individual jobs would be started and carried out in an orderly way. Naturally, each man became concerned about the other fellow's work because full cooperation was necessary in order for each job to be done properly and on time.

5. The skills and experience of each of the men were recognized and respected by the supervisor. He admitted to himself and to his men as well, that each of them knew much more about the details of the individual jobs than the supervisor did. He pointed out also, that he recognized that their individual knowledge and abilities, taken collectively, represented a resource many times greater than his own. The supervisor was aware that one of his greatest responsibilities was to use, to the fullest extent, all of the abilities possessed by the members of his unit. He frankly discussed this point with the men, both individually and as a group. And he pointed out that each one had a great deal to contribute to the success of the complete operation. That collectively they represented many years of experience and capacities of considerable variety and competence. He told them that he wanted and needed their help, that the success of the unit and of each member of it depended largely upon their willingness to give freely of their capabilities.

The supervisor made it a regular practice frequently to request the advice and assistance of his men. With few exceptions their suggestions

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and recommendations were adopted. Whenever their ideas were not accepted they were made to understand clearly the necessity for rejection. And the supervisor made certain, as well, that the basis for such rejection was wholly sound and not due to his obstinancy or to his unwillingness to make changes. Occasionally, the ideas of the crew were accepted even when the supervisor was quite certain that another way was somewhat better.

The group frequently discussed the work they were doing and made plans for carrying out future jobs. These discussions were always quite informal and were frequently led by the crew member most familiar with the operations under consideration. Everyone had full opportunity to express his views and such views were always given careful consideration of the entire crew. As a result, each member took an active part in all phases of the operations of the unit. The men had the chance to apply their own ideas, and the opportunity to see them adopted by other crew members. It was very evident that each one derived considerable satisfaction from taking an active part in the planning and in the execution of the work of the unit.

6. The supervisor was interested in a satisfying career for himself which could be accomplished only through normal advancement. And he knew that each of his men was much interested in the same thing. With their interest in mind, he followed the practice of always leaving one of them in charge of the operations in his absence. These assignments were rotated so that each member of the crew had the chance to serve as the unit supervisor for temporary periods. Without exception, the supervisor supported the decisions and acts of the subordinates serving in his place during his absence. Of course, whenever it was evident that the acting boss had made a mistake, the case was thoroughly discussed with him in a





friendly manner and a decision was arrived at as to how it would be handled if the same or a similar situation again developed. The man's confidence was not shaken by caustic criticism or by being blamed for making the mistake even though he did the best he could under the circumstances.

This practice was beneficial in several respects. The men received helpful on-the-job training in supervision. It gave the supervisor a chance to determine which of the men were qualified for supervisory assignments. And of considerable importance, it tended to develop confidence in the individual. It increased their interest in all of the work of the unit since they were, at times, compelled to assume the total responsibility of the regular supervisor. They learned at first hand about the day-to-day problems of their boss and, as a result, became more considerate and understanding workers.

The supervisor made every effort to get promotions for his men whenever he was convinced that one of them was qualified to handle more responsible work. He made this fact known to those with the authority to take definite action. Such recommendations were made a matter of record, were not dealt with solely in the course of casual conversations. And he did not stop with a single attempt. He continued to try to arrange for his people to receive the appropriate recognition which they deserved. He never gave up.

7. The supervisor considered the welfare of his crew members as one of his primary concerns, as one of his official responsibilities. He became familiar with the interest and ambitions of each individual. This knowledge was always taken into consideration in making assignments and in all of his other official relationships with them. The supervisor made definite attempts to arrange for the individual's ambitions to be fulfilled





and encouraged revision when it was evident that the stated objectives were unreasonable or their attainment highly improbable. In brief, he showed sincere interest in each one of his people. And his interest was evidenced by action, not by words alone.

The supervisor realized the workers' attitude and performance were considerably influenced by conditions prevailing outside of working hours. With this in mind he was always considerate of the individual whenever it was evident that conditions not directly connected with the job were causing him real concern.

8. The supervisor recognized that he was able to work much more effectively if his boss kept him currently informed of developments within the organization. He was aware of the undesirable situations which were certain to result if his folks were kept in the dark. He knew that then rumors were certain to develop, that the mind of the employee would be occupied a greater than negligible part of the time with inaccurate information, uncertainty, and possibly suspicion. He would feel insecure in his lack of knowledge about the things he had a right to know.

The supervisor operated, with relation to his subordinates, in the way that he as a subordinate preferred. He made it a definite and routine part of his job to supply his crew with all official information which they had a right to have and might possibly be interested in. He followed the practice of providing even more information than might appear to be necessary. In this way he was reasonably certain that his people would possess all of the information they should have. As a consequence, the members of his crew were able to devote their interests and their energies to the fullest extent to productive work. Also, they were then able to discuss intelligently the operations of the organization. They felt that they were a "part of it;" that they "belonged."





9. The supervisor realized that his own performance was far from perfect. He realized too, that he would not be able to do much to overcome his weaknesses unless he knew about them. Some he could recognize himself. Others he could not. He needed someone to tell him frankly, to point out his weaknesses to him, someone in whom he had complete confidence.

He was aware that if this were true of himself it was also true of others, at least to some extent. One of his major responsibilities as a supervisor then, was to acquaint each of his workers with his deficiencies as a workman. The supervisor believed that he was being unfair to his men if he did not point out to them the ways in which they could improve themselves.

He handled this phase of his responsibilities in an effective manner. This is what he did. He carefully compared the accomplishment of the individual with the job for which he was being held responsible. In the course of day-to-day contacts he commended the worker for high quality performance and gave him help when he needed it. The supervisor did not rely entirely upon his memory but kept a record of the outstanding performance of each of his men as well as their performance that did not meet the established standard.

Periodically, the supervisor frankly discussed in detail, with each worker, the quality of his performance as the supervisor saw it. The subordinate was given complete information relating to both the good and the bad aspects of his work. Also, he was given full opportunity to express his views and to offer suggestions as to the ways in which he might bring about the needed improvement. Each such discussion was conducted in private, frequently at the regular work place of the individual. Every



effort was made to make the subordinate feel perfectly at ease and to cause him to express his thoughts and feelings with complete frankness. The supervisor promptly confirmed the highlights of these discussions in memoranda to the individual, with copies for his official file. Thus, the chance of misunderstanding was largely eliminated. In addition, the most important features of the conversation became a matter of record, for the benefit for both the subordinate and the supervisor, and to serve as the basis for later comparison with the individual's performance. As a result each subordinate knew exactly where he stood, all of the time, in the eyes of his boss. Too, each one knew what his strong and weak points were, at least to his boss' way of thinking. Knowing this the worker was not required to operate in an atmosphere of doubt, and he was able to make a real attempt to improve where improvement was needed. And he knew his boss would help him do that.

There seems to be little need to elaborate to any great extent upon the effectiveness of this supervisor. It was evident that he inherited a very difficult situation. Had he been considerably less competent it is possible that he would have spent a great deal of time criticizing the individual who preceded him and probably would have done very little in the way of attempting to improve the situation for which he became fully responsible. It is clearly evident that this individual discharged his responsibilities in a most appropriate and effective way.

He was not openly critical of the man before him. He recognized the true state of affairs and decided that it was his responsibility to try to do something about it. He analyzed each condition to determine the cause or the causes. He then did something about each one. His own lack of experience was not overlooked and the help of his subordinates was asked



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for, was given, and was used. Briefly, he functioned exactly as he should have, he recognized that he had a problem and he set about overcoming it with the interests of his people and the organization foremost in mind at all times. His own personal interests were definitely subordinated. And he used his staff to solve the mutual problem.

Actually, there is little if anything to criticize about the way this new supervisor operated. On the contrary, he is deserving of considerable praise for handling an admittedly difficult assignment in such an effective manner. Resulting benefits were substantial and were shared in by the entire organization, by the individual members of his unit and by himself.

The actual case we have just described in quite a bit of detail is by no means an unusual one. It is commonplace for people who are well educated in another specialized area to enter the managerial field. And it is not unusual for them to be called upon to effect this most radical transition with a minimum of assistance. We hope that the detailed comments which have been provided will prove to be a helpful guide to a great many individuals at the time they embark upon their administrative careers.

### PEOPLE PROBLEMS WILL DEVELOP

The problem cases we have just described are not of unusual character. Those that are similar in character and some that are not may develop in most any organization, particularly in those of appreciable size. Many such cases may be just starting to develop, others may have been building up for some little time. And still others may have existed for considerable periods.

The important thing to remember is that every situation can be either partially or completely corrected, or largely improved. Without

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exception, it is never too late to take some type of action. Under some circumstances, of course, the beneficial results may not be great. But it is well to bear in mind that any amount of improvement, regardless of how small, is usually worth the effort to bring it about.

In the cases described, several were handled very effectively, some very poorly, some were given little if any attention. You will have no difficulty in determining the category in which each case belongs.

Obviously, there is little if any improvement possible in those cases that were handled efficiently. In those in which some attempt was made, but the results were poor, it is clear that there was need for doing a somewhat better job. In those cases the responsible managers needed help to become better qualified in the effective application of the most logical methods to follow in dealing with those particular situations. Even though many mistakes were made and the results were by no means wholly acceptable, probably some desirable benefits did result. Possibly of the greatest importance, the situations needing attention were, at least in part, brought out into the open. This fact alone usually has a relatively desirable effect on the principals involved and upon the remainder of the organization.

#### THE HANDLING OF PEOPLE PROBLEMS IS THE MANAGER'S JOB

In the earlier portions of this discussion a method for handling problem cases was outlined. It is comparatively simple. It is logical. It brings results. But, like any device, any facility, it is really effective only when fully and properly used. No system or method, including this one, is of any real value if it is developed but not used, or its provisions are ineffectively applied.



Here is a brief summary of some of the things which must be recognized in handling any problem situation. First, the responsible official, or officials, must be completely willing to recognize and to admit freely that an unacceptable set of circumstances prevails. Second, the situation must receive prompt and thorough attention by the right people. Third, and possibly the most important, the case must be dealt with in a forthright manner. Fourth, the conscientious application of an orderly system is essential. Fifth, the knowledge and experience gained through handling the problem should be utilized fully with the view of avoiding a recurrence, and the further objective of preventing a similar occurrence in other vulnerable areas.

All of this sounds quite simple. It is, provided the problem is squarely faced and there is no deterioration of that attitude. And provided the motive is sincere, to produce the best possible results, with all efforts, not just part of them, always directed toward that end. It is in that way that all will be benefited.

There is one best way, and it is the easiest way, for the manager to deal with problems caused by his people. And that way is to prevent those problems. How? By constantly adhering to practices which are based on sound management principles. By seeing to it that this determination on the part of the individual is clearly reflected in every one of the manager's official acts.





UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 15 - HANDLING PEOPLE PROBLEMS (PART II)

WORK ASSIGNMENT

1. List and briefly describe several of the more important reasons why it is necessary that personnel problem cases receive prompt attention by the right people.
2. List several of the most common reasons for employee problems being allowed to continue too long without receiving appropriate attention.
3. List the essential major steps in dealing with a problem situation, briefly explaining each one.
4. List a number of the practices you consider to be most important for a new supervisor to follow right from the very start.
5. Describe one of the most serious personnel problem cases you are familiar with; explain the circumstances, what was done, and the results achieved; or what was not done that should have been done, and the results under such circumstances. Avoid identification of the organization and of the people involved.





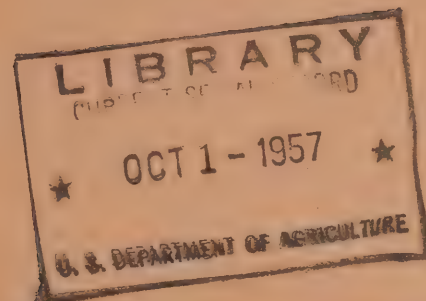




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CORRESPONDENCE COURSE

IN

MANAGEMENT PRINCIPLES AND PRACTICES

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SECTION 16

ADMINISTRATIVE AND SUPERVISORY  
JUDGMENT TEST "B" (REV. 1)

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\* \*

WASHINGTON, D. C.  
1957





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SECTION 16

ADMINISTRATIVE AND SUPERVISORY  
JUDGMENT TEST "B" (REV. 1)

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1957

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UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL MARKETING SERVICE  
PERSONNEL DIVISION

CORRESPONDENCE COURSE - MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 16 - ADMINISTRATIVE AND SUPERVISORY JUDGMENT TEST "B"  
(REV. 1)

The Purpose of This Test

To provide the opportunity to apply the principles reviewed during the course to typical situations that the average manager is called upon to deal with.

Restrictions Applying to This Test Material

You realize, of course, that the value of this material, to the participant, would be reduced substantially if no limitations of access were prescribed. The test questions are preceded, on page 4 by the restrictions which apply to this material. We request that these restrictions be respected fully.



The Test and Instructions for Taking It

1. The test consists of 50 questions, or situations, numbered from 51 to 100.
2. For each question there are five possible answers, which are lettered A, B, C, D, and E.
3. An answer sheet is provided on which the numbers 51 to 100, and the letters A, B, C, D, and E are listed. These numbers correspond to the questions and possible answers in the test.
4. In taking the test you should read the question and then read all the possible answers. You should then decide on the one possible answer which you think is the best answer for the question or situation as it is phrased. You then mark - block in - on the answer sheet the space which reflects the answer you have selected.
5. For example, if you think that "C" is the answer to question 51 then mark the answer sheet like this:

	A	B	C	D	E
51.					

6. Use a rather blunt soft lead pencil and fill in the block completely.
7. Allow yourself 90 minutes, nearly 2 minutes for each question, in which to take the test.
8. When you are ready to get started, fill in the heading of the answer sheet, turn to page 4 and proceed as indicated through question number 100.





SEND in the Answer Sheet, but Temporarily Retain the Set of Questions

1. As soon as you have completed the test, mail the answer sheet to:

Director, Personnel Division  
Agricultural Marketing Service  
United States Department of Agriculture  
Washington 25, D. C.

in an envelope with the words "Management Course" appearing on the front.

2. Within a reasonable time (a week or two) after you receive our comments about your response to this test, send us the set of questions for Test "B" (Rev. 1).

How These Test Results Will Be Used

1. We will grade your answer sheet, will indicate with a check mark the questions answered incorrectly, and return it to you.
2. You should review the questions which were not answered correctly. Be sure to send us the set of questions as indicated above.
3. You will probably want to relate the test situations to the subject matter we considered in each of the course Sections.





UNITED STATES DEPARTMENT OF AGRICULTURE  
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PERSONNEL DIVISION

CORRESPONDENCE COURSE-MANAGEMENT PRINCIPLES AND PRACTICES

SECTION 16 - ADMINISTRATIVE AND SUPERVISORY JUDGMENT TEST "B"  
(REV. 1)

Mandatory Restrictions Applying To This Test Material:

1. Revealing any of the contents of this test to any person not participating in this course is prohibited.
2. Copying or reproducing in any form any of these questions or answers is prohibited.
3. This set of test questions will be retained no longer than necessary to complete this assignment.
4. The complete set of test questions will be returned within a reasonable period of time after completion of the course.
5. Refrain from entering pencil or other markings on the set of questions.

The following questions are numbered 51 through 100, with five possible answers, A - B - C - D - E, provided for each question.

51. When an administrative head of an organizational unit plans to be absent for a substantial period of time, it is most important for him to do which one of the following?
- A. Tell one of his subordinates that he will serve as acting head of the unit and instruct him to pass this information on to the other members of the unit force and to the boss of the regular unit head.
  - B. Divide the functional responsibilities of the unit among two or three subordinates and assign to each one of them full administrative authority over the remainder of the unit staff.
  - C. Leave instructions to the effect that no decisions of any consequence are to be made until he returns, but that each subordinate is expected to "carry on" as usual.





51. (Continued)

- D. Inform his superior and his other subordinates of the person designated to act for him during his absence and clearly define the limits of that person's authority and responsibility.
- E. Tell each one of his subordinates to check on the others while he is away and for each to give him a complete report when he gets back.

52. During the course of a formalized inspection the inspectors discuss routine operational affairs with the employees responsible for such operations. Frequently employee responses are along this line - "I don't know for sure as my boss has never told me, but a fellow in one of the other divisions said he had heard through the grapevine that.....". Which one of the following conditions probably best describes the basic cause behind this condition?

- A. The employees lied to the inspectors.
- B. Employees do not want to be told about what is happening in their organization.
- C. Management doesn't want employees to know what is going on.
- D. The workers are too busy to listen to their bosses.
- E. The "managers" in this organization have failed to recognize that an important function of good management is to keep employees fully informed about things they want to know about and have a right to know about.

53. It is the standard practice in several Federal Departments for both line and staff officers attached to central and "area" headquarters to inspect field operations. Occasionally these inspection reports will include a special "personnel" memorandum of derogatory nature concerning a field employee contacted by the inspector during his inspection. In one such instance the derogatory material, which is founded on one casual observation, is in substantial conflict with the employee's past record and his superior shares none of the views expressed by the inspector. The principal's superior is entirely familiar with the contents of the memorandum. Which one of the following is the wisest practice for the inspector's superior to follow in such a situation?

- A. Send the memorandum to the employee's superior for his disposition.
- B. Inform the inspector that he erred and that he must refrain from presenting unsubstantiated conclusions of such serious nature; destroy the memorandum and so inform the principal's boss.
- C. Inform the employee's superior, in official memorandum, that the inspector's memorandum will not be retained as an official document.





53. (Continued)

- D. Destroy the inspector's memorandum and say nothing to anyone about the whole business.
- E. Place the inspector's memorandum in the employee's official file with no supplemental statement.

54. Which one of the following conditions, standing alone, is most likely to insure a minimum of difficulty, on the part of any organization, in recruiting dependable and otherwise fully competent people?

- A. A general operating policy which includes virtually no restrictive regulations.
- B. Granting special favors to those who exceed established production goals.
- C. Short work hours.
- D. High wages.
- E. Fair and impartial promotion practices and constant evidence, through action, of a sincere interest in the welfare and appropriate advancement of the individual.

55. There are over a hundred employees in a work unit. Ten or twelve of these employees have started to abuse an entirely appropriate privilege which all members of the unit have enjoyed for a considerable period of time. All the others appreciate the privilege and never overstep the limits with which everyone is familiar. The unit head would be functioning properly if he straightened out the situation by

- A. Continuing the privilege and taking positive action to bring the offenders into line.
- B. Ordering one of the "abuser's" co-workers to bring them into line or else.
- C. Referring the situation to his superior.
- D. Permitting the abuses to continue.
- E. Withdrawing the privilege from all members of the unit.





56. It is the standard practice for the subordinates of an administrator to prepare considerable internal correspondence for the administrator's signature. Which one of the following practices is it best for the administrator to follow while he is reviewing and signing this material?

- A. Always discuss proposed changes with the author and request the author to rewrite.
- B. Send those he wants changed to a subordinate other than the author for rewrite.
- C. Always sign and send out regardless of how they are written.
- D. Make major changes, have material retyped by his secretary and refrain from discussing with the author.
- E. Frequently attempt to find something wrong so the authors won't develop too much confidence.

57. An employee is a supervisor when he has the responsibility for "directing" the activities of one or more other employees. Only one of the following statements is considered to be correct. Which one do you think is correct?

- A. Full time first line supervisors should always spend at least half of their time performing non-supervisory tasks.
- B. Staff officers are never supervisors.
- C. The function of supervision is present at every administrative level.
- D. Non-supervisory employees are responsible for directing the activities of others.
- E. Managers seldom have any supervisory responsibility.

58. Which one of the following circumstances represents the greatest justification for assembling a group of 20-25 employees for a series of training conferences?

- A. When an inspection reveals that the organization has not done this sort of thing during the past year.
- B. Because this is the practice followed by another organization.
- C. When the employees involved think it would be a good idea.
- D. When top management insists that it be done.
- E. When it has been conclusively determined that the training is urgently needed, that it is a good investment, and that individual training would be less effective and would cost more.

[The text on this page is extremely faint and illegible. It appears to be a multi-paragraph document, possibly a letter or a report, with several lines of text visible across the page. The content is too blurry to transcribe accurately.]

59. There is maintained in most large organizations an individual personnel file for each employee (we do not refer to records of a "security or classified" nature.) One of the following statements indicates the soundest management policy with respect to availability of his record to the individual employee.

- A. A third party should always review the employee's file and report to him.
- B. He should have access only to the extent determined by his immediate superior.
- C. He should have the fullest access to all such material with the exception of that which, in the best judgment of a highly competent and unbiased official, is of such character that its exclusion from this file will best serve the interests of all concerned.
- D. He should have access to everything written about him whenever he wants it.
- E. He should never have access to it.

60. Which one of the following characteristics on the part of an individual in an administrative position is certain to seriously handicap the operations of his staff?

- A. The administrator seldom lets his staff members know whether he sanctions, approves, or disapproves their actions and contemplated actions.
- B. It is the philosophy of the administrator that restrictive regulations should be kept to the necessary minimum.
- C. On infrequent occasions the administrator forgets to inform subordinates regarding routine developments which they should know about.
- D. He almost always refers inquiries to the appropriate staff member even though the administrator frequently is able to answer such inquiries.
- E. The administrator does not spend most of his time at his desk.





61. The administrative practices in no two organizations are the same. The following represent some of the practices that are followed to quite a considerable extent. One of these five practices is extremely improper. Which one do you think it is?

- A. High level administrative officials follow the deliberate practice of occasionally visiting at all subordinate levels during work hours.
- B. Staff officers frequently inspect line operations with full authority to make any changes they think desirable.
- C. Employees always present their problems to their immediate superior.
- D. Line officers frequently confer with other line officers at the same level.
- E. During real emergencies an administrator gives direct orders to other than his immediate subordinates, and promptly informs their superiors of his action.

62. The most able manager is the one who is most interested in

- A. Trying to convince himself and others that he is capable of performing all jobs of his unit better than his subordinates.
- B. Keeping his record free of mistakes.
- C. What his boss thinks of him.
- D. The welfare of his subordinates.
- E. Having a precise regulation to cover every eventuality.

63. Which one of the following practices, in the performance of routine operations, is recognized by the competent manager as being the most improper?

- A. For the administrator to delegate completely and refrain from encroaching upon the prerogatives possessed by the subordinate by virtue of such delegation.
- B. For the administrator to follow the standard practice of having virtually all correspondence routed to the appropriate subordinate specialist immediately upon receipt.
- C. For an administrative official regularly to issue direct orders and instructions to an employee other than an immediate subordinate.
- D. For an administrative official to request official information from employees below the level of immediate subordinates.
- E. To request subordinates to prepare policy correspondence for the signature of the unit head.





64. A highly competent specialist is promoted to an administrative position in which he is responsible for his specialty and four other functions of comparable magnitude and importance. A competent subordinate heads each function. The new administrator is fairly familiar with two of the four functions and almost completely lacking in experience in the other two. The most appropriate course of action for this administrator under these circumstances would be to

- A. Run his specialty function himself and remove the subordinate head of that function to reduce overhead costs.
- B. Tell the heads of the functions with which he is not familiar not to bother him with their problems.
- C. Arrange to get an assistant to handle the functions he is not familiar with.
- D. Devote his major attention to those functions he knows little about, after frankly admitting his situation to his subordinates and explaining how he intends to operate and why.
- E. Concentrate his interest and attention upon his specialty to convince his staff that he knows his stuff.

65. A full time manager is certain to impair the efficiency of his unit when he adopts one of the following practices - which one?

- A. When he discusses with his subordinates anything other than their official work.
- B. When he almost invariably stops what he is doing to listen to a subordinate explain fully a problem that is bothering him.
- C. When he assumes responsibility for the personal performance of specific tasks which require fifty percent of his time.
- D. When he is vitally interested in the welfare of each subordinate.
- E. When he specifically assigns all major functions to his subordinates.

66. A relatively young technically trained employee with but negligible administrative experience has been promoted to a responsible managerial job. On the new job his subordinate supervisors are all quite a bit older and have had considerably more work experience than he has. Which one of the following is the best course of action for him to follow:



66. (Continued)

- A. Ask his superior for a new staff made up of less experienced people nearer his age.
- B. Fully explain the situation to his staff in a group meeting; state that he respects their individual and combined capabilities and judgment and that he needs and wants their help and operate in that way.
- C. Tell each subordinate supervisor, individually, that he looks upon him as his number one assistant and will expect to call upon him when he gets in a jam.
- D. Call his staff together and tell them he is their new boss and will insist that his orders be followed.
- E. Say nothing to his staff about his lack of experience or difference in age.

67. The most competent manager is the one who

- A. Fully delegates most of the major work functions and takes no active part in their execution except where subordinates request help and in the course of routine administration.
- B. Formally delegates every major function but still tries to handle personally those segments of each function in which he is most interested.
- C. Seldom gets away from the job as the outfit would go to pot without him.
- D. Holds out several major jobs to do himself so he will always have something to do, and to prove to his subordinates that he is better qualified to do their jobs than they are.
- E. Delegates only a small part of his major functions.

68. Which one of the following conditions is the most serious management deficiency in an organization?

- A. The hours of work are not entirely acceptable to every employee.
- B. The Personnel Department is understaffed.
- C. Available equipment is only of mediocre quality.
- D. Written instructions are sometimes incomplete.
- E. Many employees are uncertain as to just who their bosses are.





69. A justified reprimand, administered by the appropriate supervisor to an employee guilty of some form of violation, is intended to produce which one of the following results?

- A. To divert attention from more serious deficiencies on the part of the supervisor.
- B. To enable the supervisor to prove to his superior that his people can't get away with anything.
- C. To demonstrate the authority of the boss.
- D. To antagonize the employee to such a degree that he will quit.
- E. To help the employee avoid a recurrence of the violation and the commission of other unacceptable acts.

70. Which one of the following is the most important characteristics of a good organization chart which is intended to define relationships and clarify responsibilities?

- A. Function of each unit is clearly but briefly stated and by clearly understandable and conspicuous symbols the organizational relationships between units are clearly shown.
- B. Exact number of employees in each unit is indicated.
- C. Full name and payroll titles of all employees are shown.
- D. Of well balanced design.
- E. Placed on big sheets so it can be read easily at a distance.

71. When a major organizational change is under consideration for an extended period, a year or so, and it is certain that the ultimate revision will radically affect the assignment of the majority of employees it is best for management officers at all levels to

- A. Disseminate pleasant but unauthenticated information in an effort to keep everyone from worrying.
- B. Deliberately avoid discussing the subject with subordinates.
- C. Let employees find out things the best way they can.
- D. Frequently make certain that all employees are acquainted with the true facts even though those facts may consist only of "no further development."
- E. Constantly assure all employees that they will not be adversely affected.





72.      One of the following statements, with reference to the performance rating operation, is true. The others are substantially in error. Which one is true?

- A.    A rating should be determined by comparing one employee with another.
- B.    Supervisors should discuss quality of performance with subordinates only at formal rating time.
- C.    Personal characteristics, personality and individual habits are typical of the basic elements on which any performance rating is based.
- D.    It is proper to develop a rating by comparing the way the employee did his job, during the rating period, with the established job standards with which the employee was entirely familiar during the rating period.
- E.    The first time a supervisor rates a subordinate's performance, the rating should always be low, to permit giving a higher rating next time.

73.      A supervisor tells a well qualified subordinate that he will give him a better job in about six months. The supervisor's intentions are good but at the end of six months the job he had in mind is no longer available. It would be best for the supervisor to

- A.    Give the employee less work to do.
- B.    Deny that he ever made such a promise.
- C.    Try to get the employee transferred so as to be rid of him.
- D.    Say nothing to the subordinate.
- E.    Explain the situation fully to the subordinate and give him all reasonable help in trying to get a better job.

74.      Which one of the following is not a true statement?

- A.    The fact that an individual occupies a responsible administrative position is incontestable proof that he is a competent administrator.
- B.    Frequently referring to an organization as a big happy family will not make it that.
- C.    A competent administrator always makes it his job to "know" his subordinates.
- D.    A competent administrator never fails to recognize that each subordinate is a human being to the same degree that he is.
- E.    Each employee should know who his immediate superior is.



75. A staff officer having no jurisdiction over line operations is very displeased with the quality of work of a line employee who obviously had done his best. The staff officer is loudly critical and directs caustic remarks at the employee in the presence of the employee's supervisor. The supervisor would be functioning most efficiently if he

- A. Immediately clarified the official relationship of all three, urged the employee to forget the incident and the staff officer to get into line.
- B. Immediately assigned the employee to another job with no explanation for such action.
- C. Complimented the staff officer on his action and thanked him for his help.
- D. Left the staff officer and the employee to continue it alone.
- E. Bawled out the employee in the presence of the staff officer.

76. One of the following statements, covering performance ratings, is true. The others are not true. Which one is true?

- A. A rating system which provides for the formalized rating of the performance of the entire supervisory force at weekly intervals will produce much better results than a system calling for monthly or semi-annual ratings.
- B. The performance of the higher level administrators should not be rated as it is certain, by virtue of their responsibility level, that they are doing their jobs very efficiently.
- C. A good performance rating system serves only as an aid to the rater to help him do a good job; the system will not do the job for him.
- D. Ratings should always be made by someone other than the employee's supervisor.
- E. A good performance rating "system" insures that a complete understanding between the supervisor and each subordinate will always exist.

77. In the course of routine operations which one of the following normally is the best way for a supervisor to issue a verbal instruction to a subordinate?

- A. To tell a co-worker to tell the subordinate to do it.
- B. To express considerately the desire that he do it.
- C. To "tell" him to do it.
- D. To "command" him to do it.
- E. To "order" him to do it.





78. A competent supervisor hears the repeated rumor that a reorganization is pending and as a result a number of employees will be laid off ("riffed" in Government jargon). This rumor becomes the main topic of discussion among his subordinates and co-workers. The supervisor goes to his superior, explains what he and his people have heard, and requests accurate information. The superior has heard the same rumor but has received no official denial or confirmation. Which one of the following is the best course of action for the supervisor's superior to take?

- A. Get as full information as possible from top management and furnish a complete and accurate report to this supervisor and to his other subordinates.
- B. Assign an investigator the job of identifying the employee who started the rumor so he can have him fired or transferred.
- C. Tell the supervisor to get back on the job and tell his people there is nothing to the rumor.
- D. Tell the supervisor he will find out and then forget all about it
- E. Tell the supervisor he doesn't know and that they will have to wait and see what happens.

79. A central staff office is responsible for the periodic inspection of line operations at field locations. One such inspector submits a derogatory report concerning one unit head at one of these field locations and recommends drastic action if the improvements he thinks necessary are not made. The unit head is familiar with the contents of the inspection report. The top administrator of the field office has always considered previously that the unit head is wholly competent, has been handling his job very efficiently and his boss still is convinced that is the case. About the time the inspection report reaches the field office, it is revealed that the unit head and the inspector formerly worked together and some ill feeling has existed between them for some time. Which one of the following is the best course of action for the field office administrator to take?

- A. Ask his superior to reprimand the Unit Head.
- B. In a formal report to his superior officially refute the charge of the inspector and fully inform the Unit Head of the action taken.
- C. Inform his superior that he will recommend drastic action if the Unit Head doesn't show decided improvement in six months.
- D. Take no action.
- E. Reprimand the Unit Head and recommend he be put on probation.





80. The occupant of a high level administrative position is constantly telling his staff that he is so busy that he just doesn't have time to discuss their problems with them. Which one of the following best describes such a situation?

- A. The daily work period is too short.
- B. Work demands are too heavy.
- C. The unit is understaffed.
- D. His subordinates are incompetent.
- E. The occupant of this position fails to reveal, by actions, that he understands what his job actually entails.

81. The head of a sizeable field Division operation is an extremely incompetent administrator. He violates every principle of good management and as a consequence morale is terrible and everyone of his subordinates pays a big price for this fellow's malpractices. The Division Head's superior discovers a part of the true situation but refuses to investigate further or to take any corrective action. He says he doesn't favor removing the Division Head because he doesn't want to "hurt anyone." Which one of the following "basic management principles" reflects the extreme illogic in the reasoning of the Division Head's superior?

- A. All participants in any cooperative enterprise need to be kept fully and currently informed.
- B. No administrator will hesitate to "hurt" one to avoid "hurting many."
- C. Delegation is essential to supervisory success.
- D. Coordination is accomplished through appropriate use of staff.
- E. No employee should receive orders from more than one superior.

82. The administrator of a large unit has six administrative subordinates. All six positions are "undergraded." If properly graded, incumbents would receive substantially higher salaries. Because of unavoidable conditions it is possible to upgrade two of these positions now but the other four cannot be upgraded until about six months from now. Which one of the following is the proper action for the administrator to take?

- A. Upgrade the two positions and notify the other four employees and other members of the organization by an item in the monthly news bulletin.





82. (Continued)

- B. Upgrade the two positions now and tell these two employees to explain the situation to the other four.
- C. Take no action now and upgrade all six at the end of six months.
- D. Upgrade the two positions now but try and keep the other four employees from finding out.
- E. Fully explain the situation to all six employees, upgrade the two positions now and the other four as soon as he is able.

83. A well qualified engineer, 36 years of age, has proved his competence and general worth during a continuous five-year period in the same Federal organization and he is offered a much more responsible and higher paying job in private industry. The engineer fully explains the situation to his boss and after providing ample advance notice goes to the job in industry, leaving behind an outstanding record with the Federal agency. He established a similar record in the new job but after three years his company transfers the operation overseas. For personal reasons he cannot move with the company. He learns that the Federal agency he had left is badly in need of engineers with his qualifications and applies for one of these jobs which are one grade above the job he left three years earlier. His application is sent to his former boss for consideration. Which one of the following is the most logical decision for his former boss to come up with?

- A. Recommend the application be held in reserve, to be acted upon only if all vacancies cannot be filled by other applicants from the "outside."
- B. Refer the application to a higher level with the statement that he doesn't care to make a recommendation.
- C. Recommend he be re-employed at the higher grade, recognizing that his industrial experience represents additional valuable qualifications.
- D. Recommend he be offered a job at a level below the one he left.
- E. Recommend he not be re-employed because this supervisor's policy is never to take back any employee who voluntarily leaves.

84. Every organization must have regulations which have general application to all or most of its employees. After an organization has been in operation for a number of years it is almost certain that such regulations will be extensive in number and volume.





**84. (Continued)**

**Under such normal conditions which one of the following is the most important management practice?**

- A. Constantly work on the identification and rescinding of regulations which are unenforceable or obsolete.**
- B. Pay no attention to violations of existing regulations which are no longer applicable.**
- C. Attempt to anticipate every eventuality and see to it that each is covered by a regulation.**
- D. Always make certain that all regulations are carefully checked before definite action is taken by an administrative official.**
- E. See to it, periodically, that every member of the organization has a complete set of all regulations.**

**85.      One of the following statements reflects the most important practice for every administrator to follow during direct negotiations, on routine matters, with subordinate level employees whose immediate superiors are officials other than the administrator engaging in such negotiations. Which one is the most important?**

- A. The administrator should make it clearly evident that he is talking to the subordinate only because a higher level official is not available.**
- B. The administrator should make it clear that his willingness to talk to the subordinate is a real concession which should be appreciated.**
- C. Confirm in writing everything that is said.**
- D. The administrator should make certain that his official relationship to the subordinate is clearly understood by the subordinate.**
- E. Discussion should be limited to official matters.**

**86.      Which one of the following conditions indicates that a high state of morale probably exists in an organization?**

- A. Everyone always appears to be very busy.**
- B. Top level administration insists that extreme informality exist in all work relations.**
- C. Employees invariably defend their organization in discussions with "outsiders."**
- D. Employees hardly ever suggest ways in which operations can be improved.**
- E. The Chief insists that social functions for employees be frequently arranged for outside regular work hours.**





87. A supervisor should always deal positively with a violation or infraction, by a subordinate, the first time it occurs because

- A. The first violation is always the worst.
- B. He may not be able to catch the offender the next time.
- C. It is unfair to the offender to let him get away with it for other derelictions, possibly more serious, are then more likely to occur.
- D. It may give him a chance to exercise the prerogatives inherent in his position of official superior.
- E. It will prove to his boss that he is on his toes.

88. Of the following conditions, which one represents the worst deficiency on the part of an employee in a high level administrative position?

- A. He spends a lot of time roaming around his operations, engaging in "unofficial" conversations with "rank and file" employees.
- B. He now and then takes a little "unauthorized" time off.
- C. He sometimes forgets to announce staff meetings until the last minute.
- D. Constantly holds up operations, striving for what he calls perfection, because he is always afraid he will make a mistake.
- E. Not intimately familiar with all details of his total operation

89. In the administration of penalties the line administrator who is least competent will follow which one of the following practices?

- A. He assigns the job to a subordinate or requests the penalty be imposed by a staff officer.
- B. He always attempts to administer the penalty promptly after a decision has been reached.
- C. He makes it a standard practice to reprimand in private.
- D. He attempts always to select a penalty that is commensurate with the offense.
- E. He insists that he administer them himself.



90. An experienced and exceptionally competent Federal employee has been requested by a large Federal Department to transfer to that organization. Officials of the Personnel Office with whom he is dealing refuse to give him a written statement enumerating the verbally agreed upon terms of transfer and conditions of employment subsequent to the contemplated transfer. They explain that it is not their policy to provide such a statement. Which one of the following courses of action is most appropriate for the employee considering transfer?

- A. Request permission to postpone his decision for six months in the hope that he will then be able to get the desired confirmation.
- B. Conclude that the other management practices in that Department are probably similarly substandard and give no further consideration to the requested transfer.
- C. Go over the heads of the folks in the Personnel Office and try to get the statement he wants.
- D. Accept the transfer if he can get a promise of promotion.
- E. Accept the transfer on the basis of verbal understanding.

91. A large organizational unit is adequately staffed with competent people and has sufficient funds and other facilities readily to accomplish its mission. The unit head, however, always says he is overloaded with work and can never get caught up. Which one of the following is probably the basic cause of the trouble?

- A. The unit head is insufficiently familiar with the details of each function.
- B. Members of the unit want to see the unit head fail.
- C. His subordinates are non-cooperative.
- D. The daily work period is too short as this operation is unique, it's different, and much more difficult than any other.
- E. The unit head does not recognize what his job actually is, and, as a consequence, is performing many tasks which he should permit his subordinate staff to handle.





92.        The findings acquired during the course of formal inspections of the operations of line units, should be recorded and utilized to the fullest advantage. Maximum benefit will result from which of the following practices?

- A.    The head of the unit inspected is informed about the things needing improvement but is told nothing about the conditions considered acceptable and those considered to be well above the established standard.
- B.    The results are not furnished to the head of the unit inspected on the assumption that he will assume everything is all right.
- C.    Complete reports are furnished to the responsible line and staff officers and the head of the unit inspected, and appropriate follow-up action is taken.
- D.    The reports are supplied only to staff officers.
- E.    Inspection reports are always kept very brief and state facts only without adequate explanations for extreme conditions.

93.        When an employee presents a problem to his supervisor, normally the best course of action for the supervisor is to

- A.    Get the full story and several alternative solutions. Whenever appropriate, suggest to the employee that he act according to the preferred suggestion which he made.
- B.    Tell the employee to save up his problems and present all of them at the next staff meeting.
- C.    Always tell the employee that his problem will be considered and that he will get an answer at some later time.
- D.    Tell the employee to dope it out himself, that it is his job to solve his own problems.
- E.    Always decide on an answer, without the employee's help, and give the employee a complete and detailed solution.

94.        A professional employee who has clearly demonstrated unusual competence in his field frankly informs his superior that he considers a number of standard administrative practices to be seriously handicapping. He suggests positive changes and explains the substantial benefits that would thereby result. All are excellent suggestions but none can be adopted at that time by reason of law or other equally forceful reasons. The most appropriate course of action for the supervisor would be to





94. (Continued)

- A. Tell the employee his ideas are not new, that you had thought of the same things long ago.
- B. Tell the employee you will consider his ideas and let him know, but then avoid him for a while so he won't have a chance to mention these things again.
- C. Tell the employee his ideas can't be accepted but don't explain why.
- D. Thank the employee for his suggestions, indicate that they appear very sound but cannot now be adopted and explain why.
- E. Tell the employee that he is getting out of his field and that that is a dangerous practice.

95. In making a selection to fill an administrative position from career candidates in lower "grade" positions which one of the following persons, all of acceptable age and possessing comparable educational backgrounds, would most generally prove to be the most successful administrator?

- A. The individual who has served for a considerable period, with below average success, as a first line supervisor.
- B. The individual who has never occupied a supervisory position but is a very close friend of the top boss.
- C. The individual with experience in a number of somewhat related specialized fields whose attainments in all of them have been about average.
- D. The highly competent technician recognized as an authority in one specialized field.
- E. The outstanding scientist.

96. Inspection of the operating practices within an organizational unit will be most beneficial to all concerned if

- A. Officials of the unit under inspection are informed in advance, take an active part in the inspection, and during the inspection there is free exchange of information and view between the inspector and those responsible for the activities being inspected.
- B. Those responsible for the operations under inspection are absent during the inspection.
- C. Members of the unit under inspection are not informed, in advance, of the operations to be inspected.
- D. The inspector offers negligible comment, except to ask questions, during the inspection.
- E. The inspector limits his activities to fact-finding and reporting.





97. A young competent technician whose objective is a successful career in his field has, during the past two or three years, clearly demonstrated qualifications for a more responsible assignment. A vacancy occurs in the organization in a higher level position for which this employee is the best qualified candidate. His present project is almost completed but his boss has planned to have him start another project, at the same grade level, which will take about a year to complete. Which one of the following is the best course of action on the part of this employee's superior?

- A. Tell the technician that he can try for the vacant job if he wants to but that he, his superior supervisor, can't do anything to help him get it.
- B. Go to the head of the unit in which the vacancy exists and tell him that the technician is not interested in advancement and wants to stay where he is.
- C. Tell the technician about the vacancy but attempt to convince him that he wouldn't like the job, in an effort to keep him.
- D. Tell the technician all about the vacancy and assure him that his boss will do all he can to help the technician get the promotion if he is interested in it.
- E. Make no mention of the vacancy.

98. Vacancies frequently occur, for various reasons, in every organization. In filling clerical, stenographic, and secretarial vacancies in a headquarters location having several hundred such employees it is usually the best management practice

- A. To give no publicity to vacancies available and selections made.
- B. For management to decide which qualified employees might be interested and limit consideration to that group.
- C. To widely publicize all such vacancies and select the best qualified candidate from "within" whenever possible.
- D. To fill vacancies from the "outside" whenever possible.
- E. For the "Personnel" office to select individual replacements based solely on review of the records in that office.





99. There is no such thing as perfection in any well managed operation. The efficient administrator recognizes that fact. When inevitable mistakes occur the good administrator does which one of the following?

- A. Raises a fuss with those who are not responsible because he finds it easier that way and because he thinks this will help keep the rest of his outfit on their toes.
- B. Sulks for a few days just to make certain everyone knows how badly he feels.
- C. Takes much of the blame himself if it was an honest mistake which occurred while the responsible subordinate was doing his best.
- D. Always penalizes the employee he thinks is at fault.
- E. Attempts to find someone to pin the blame on.

100. Which one of the following statements most accurately and completely describes the collective operations which may properly be classed as "administrative" work?

- A. The collective functions carried out by designated staff units responsible for serving the entire organization, involving personnel recruiting and related services, budgeting, property procurement, and other services of similar character.
- B. The functions performed by any line or staff officer while he is engaged in the administration of activities specifically designed to insure an acceptable state of coordination of those operations for which he is held accountable.
- C. The functions performed by any line or staff officer while he is engaged in conducting a routine inspection of the operations of a work unit which is subordinate to him in the established chain of command.
- D. The collective functions for which the individual having line jurisdiction over a subordinate staff is held responsible.
- E. The compilation and formal issuance of procedural material.









